Missouri State Library Grants Manual

September 2012

Compiled by
Missouri State Library
Library Development Division

INSTITUTE of **Museum** and **Library** SERVICES

Introduction to the Manual

The Library Development Division of the Missouri State Library (MOSL) seeks to assist library staff with successful administration of their grant project through the information in this Grants Manual. The manual is presented in four parts: 1) Definitions and General Policies, 2) Proposal Preparation and Submission, 3) Award Acceptance and Administration, and 4) Appendix. We hope you will review each section, as the parts are interdependent. For instance, Part 1 includes brief descriptions of terms or topics, some of which may appear in other parts of the manual with more detailed information and instructions.

Each part contains numerous references and links to laws, regulations, policies or guidelines available on the World Wide Web. Because website addresses frequently change, MOSL will make every attempt to keep these links current, but users should feel free to contact the office if a web link is found to be in error. Additionally, MOSL expects to add or revise topics and sections throughout the year, so users are encouraged to update their copy of the manual as new material is provided.

The Grants Manual has been designed to provide current guidelines, policies and procedures to staff from eligible libraries seeking LSTA Grant support, and for managing awards in compliance with federal and state laws, rules and regulations. Recent issues directly affecting grants management include: reengineering by federal agencies under a mandate to streamline government, increased access to information over the Internet, and the explosion of electronic services including electronic commerce. Both public and private grantmakers have responded to these issues with changes in policies and procedures for proposal submissions and award administration.

We are interested in your comments and suggestions as users of the manual. Please send your questions, problems you have encountered, topics you would like included in the future, or other comments to debbie.musselman@sos.mo.gov.

Table of Contents

Introduction to the Manual

Contact Information

Missouri State Library, Library Development
600 W. Main St.
P.O. Box 387
Jefferson City, MO 65101
Telephone: (800) 325-0131
FAX: (573) 751-3612
Please e-mail comments and suggestions to: SOSmain@sos.mo.gov
Website: http://www.sos.mo.gov/library/development/

Library Development Staff Directory

- **Barbara Reading**, *Division Director*
  barbara.reading@sos.mo.gov
  (573) 751-2679 -or- (800) 325-0131 ext. 4

- **Brenda Allee-Bates**, *Library Administration and Management Consultant*
  brenda.alleebates@sos.mo.gov
  (573) 751-2680 -or- (800) 325-0131 ext. 8

- **Amanda Baker**, *Supervisor 1*
  erin.grant@sos.mo.gov
  (573) 522-4036 - or - (800) 325-0131

- **Naphtali Faris**, *Youth and Literacy Services Consultant*
  naphtali.faris@sos.mo.gov
  (573) 522-9564 -or- (800) 325-0131 ext. 17

- **Katina Jones**, *Statistical Research Analyst*
  katina.jones@sos.mo.gov
  (573) 526-1087 –or- 800-325-0131, ext. 12

- **Megan Lusk**, *Technician 1*
  megan.lusk@sos.mo.gov
  (573) 751-0586 –or- (800) 325-0131

- **Jean Morrison**, *Technology and Electronic Services Consultant*
  jean.morrison@sos.mo.gov
  (573) 751-0158 –or- 800-325-0131, ext. 11

- **Debbie Musselman**, *LSTA Grants Officer*
  debbie.musselman@sos.mo.gov
  (573) 526-6734 - or - (800) 325-0131, ext. 14

- **Lisa Peters**, *Technician 2*
  lisa.peters@sos.mo.gov
  (573) 751-4781 –or- (800) 325-0131

- **Haiying Qian**, *Metadata Cataloger*
  haiying.qian@sos.mo.gov
  (573) 522-1477 -or- (800) 325-0131, ext. 13

- **Heather Richmond**, *Digital Collections Coordinator*
  heather.richmond@sos.mo.gov
  (573) 526-7648 –or- (800) 325-0131, ext. 10

- **Ann Roberts**, *Continuing Education Consultant*
  ann.roberts@sos.mo.gov
  (573) 751-1821 -or- (800) 325-0131, ext. 5

- **Carl Wingo**, *Library Consultant, Technology and Digitization Services*
  carl.wingo@sos.mo.gov
  (573) 751-1822 -or- (800) 325-0131, ext. 9

Missouri Five-Year State Plan
For the Use of
Library Services and Technology Act (LSTA) Funds
Fiscal Years 2008 - 20012

Definitions:

A.   A <u>public library</u> is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.

B.   A public elementary school or secondary <u>school library</u> is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.

C.   An <u>academic library</u> is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.

D.   A <u>special library</u> is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.

E.   A <u>library consortium</u> is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

**Statutory and Regulatory Overview of LSTA State Program
from the Institute of Museum and Library Services**

Federal statutes provide the basis for the Library Services and Technology Act (LSTA) state-based library program while various regulations govern how to administer federal grant programs.

A. Federal statutory framework

The United State Code (USC) is the government's official document of federal statutes. Title 20 (Education), Chapter 72 (Museum and Library Services) is the enabling language for IMLS. Subchapter II (Library Services and Technology) is the section of Chapter 72 that specifically addresses the LSTA State Program. The following sections are particularly important to you as an administrator of the LSTA program:

9121. Purpose
Lists the four purposes of the overall LSTA program, not just the Grants-to-States program. A State Library Administrative Agency's (SLAA) expenditures that match these purposes must be used in determining its Maintenance of Effort (MOE);

9132. Administration
Restricts the amount an SLAA may use for administrative costs to 4% of its annual allotment;

9133. Payments; Federal share; and MOE requirements
Includes information on what must be included in MOE and how it is calculated in determining an SLAA's eligibility to receive its full allotment;

9134. State plans
Requires a five-year plan (including required elements) and a five-year evaluation. It also stipulates Internet safety (CIPA) requirements as it pertains to LSTA funds;

9141. Grants-to-States
lists the six priorities for which the SLAA may expend LSTA funds and for which SLAA, local, and private funds may be expended in calculating the Match requirement.

B. Federal regulatory framework

Federal regulations provide the guidelines that federal agencies and their sub-grantees must adhere to in administering federal programs. There are two sources of regulations for the LSTA program: the Code of Federal Regulations (CFR) and Office of Management and Budget (OMB) Circulars. (The Circulars are being systematically integrated into the CFR. There are three groups of regulations central to the administration of the LSTA Grants-to-States program and two more groups that address specific issues that the LSTA must be aware of and abide by.

1. *General Regulation for Administering the Grants*
    45 CFR 1183 – Uniform administrative requirements for grants and cooperative agreements to state and local governments
    This sets out the general requirements for managing State Program and discretionary grants administered by IMLS. (45 CFR 1180-1186 cover all IMLS-specific regulations). It also directs the reader to other more specific regulations.

2. *Regulations Governing Allowable Costs*
    There are three CFRs that cover allowable costs:
    a) *2 CFR 225 – Cost principles for state, local, and Indian tribal governments* (formerly OMB Circular A-87);
    b) *2 CFR 220 – Cost principles for educational institutions* (formerly OMB Circular A-21); and
    c) *2 CFR 230 – Cost principles for non-profit organizations* (formerly OMB Circular A-122)

    The one to use is determined by what entity is managing the grant or sub-grant. In most cases the SLAA will use 2 CFR 225 since it governs state and local governmental agencies, which covers LSTA funds expended directly by the SLAA or by a local government through a sub-grant. The other two sets of regulations come into play only if the SLAA uses LSTA funds to sub-grant to or contract with an educational institution or non-profit organization. Non-profit organizations include library associations, which often receive LSTA funds for special projects. Section 225 should be readily at hand when administering the LSTA program. While not all allowable and unallowable cost issues are clear cut, these regulations will usually provide good guidance. When in doubt about whether an expenditure is allowable, contact your Program Officer.

3. *Regulation Governing Auditing of LSTA Grants*
    OMB Circular A-133 – Audits of states, local governments, and non-profit organizations provides guidance on all aspects of the auditing process. In many cases, the SLAA is a division of a larger state agency so it may be included in an audit that covers the entire agency. The agency or SLAA fiscal officer should have thorough knowledge of the Circular, but you should also be familiar with it.

4. *Regulations Governing Nondiscrimination*
    There are also three CFRs that cover various nondiscrimination issues:
    a) *45 CFR 1170 – Nondiscrimination on the basis of handicap in federally assisted programs or activities*;
    b) *45 CFR 1181 – Enforcement of nondiscrimination on the basis of handicap in programs or activities conducted by the Institute of Museum and Library Services.*; and
    c) *45 CFR 1110 – Nondiscrimination in federally assisted programs.*

5. *Other Applicable Regulations*
    a) *45 CFR 1185 – Governmentwide debarment and suspension*

b) *45 CFR 1186 – Governmentwide requirements for drug-free workplace*

C. State and local statutes and regulations

With respect to state and local statutes and regulations, the important issue to consider is whether they diverge from those of the federal government. Federal regulations must always be followed. However, if state or local statutes or regulations are more restrictive than the federal statutes and regulations on certain issues, e.g. on allowable cost issues, then they supersede the federal statutes and regulations on those specific issues.

**Office of State Programs General Guidance
for Federal LSTA Grant Allowable Costs:
Advertising, Public Relations, and Promotional Materials**

This IMLS Office of State Programs Guidance provides information on allowable and unallowable costs related to advertising, public relations, and promotional materials for Library Service and Technology Act (LSTA) grant awards and sub-awards. The information provided herein is meant to address common questions about advertising, public relations, and promotional materials received by the Office of State Programs from State Library Administrative Agencies (SLAAs).

SLAAs must be familiar with the six priorities of the LSTA program since no LSTA funds may be expended for any program that does not meet at least one of these priorities. The six priorities are:

(1) expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;

(2) developing library services that provide all users access to information through local, State, regional, national, and international electronic networks;

(3) providing electronic and other linkages among and between all types of libraries;

(4) developing public and private partnerships with other agencies and community-based organizations;

(5) targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and

(6) targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved. *(20 USC Chapter 72, Sec. 9141).*

SLAAs also must review the applicable OMB Cost Principles circulars for more complete information on allowable and unallowable costs. Please be advised that the OMB Cost Circulars take precedence over IMLS Office of State Programs Guidance. Additionally, please consult with your State Program Officer with any questions or for further guidance on allowable costs for LSTA grant awards.

I.   Allowable Costs Overview

As Federal grant recipients, SLAAs are required to comply with the terms and conditions of their grant awards, as well as with applicable federal laws, regulations, Office of Management and Budget (OMB) circulars, and applicable state and local laws and regulations. SLAAs are encouraged to review and become familiar with the OMB Circulars which are available electronically both on the IMLS main website http://www.imls.gov/recipients/references.shtm and the OMB website, www.whitehouse.gov/omb/circulars.

All costs charged to grants awarded by IMLS under LSTA must be "allowable costs." Allowable costs are defined and discussed in full in the following circulars:

- OMB Circular A-21 - Cost Principles for Educational Institutions
  (relocated to **2 CFR, Part 220**);
- OMB Circular A-87 - Cost Principles for State, Local, and Indian Tribal
  Governments (relocated to **2 CFR, Part 225**); and
- OMB Circular A-122 - Cost Principles for Non-Profit Organizations
  (relocated to **2 CFR, Part 230**).

Generally, for a cost to be allowable for an LSTA grant award, the cost must be **directly related to and necessary to carry out one or more of the approved LSTA priorities** *(20 USC Chapter 72, Sec. 9141).* **In addition, it must be (1) reasonable, (2) allocable, and (3) not specifically disallowed by the State or local laws or regulations** *(OMB Circular A-87, Appendix A, C. 1. a-c).* Examples of allowable costs for LSTA awards include, but are not limited to: salaries and wages, fringe benefits, consultant fees, travel costs, equipment, supplies and materials, and indirect costs.

In general, no IMLS State Program funds may be used for **lobbying** activities. The term "lobbying" is generally considered to cover any attempt to influence government decision-making. Note that lobbying also includes activities or the publication or distribution of literature that in any way tends to promote public support or opposition to a pending legislative proposal.

II.   Advertising, Public Relations, and Promotional Materials Costs

A.   Advertising Costs

OMB Circulars A-21, A-87, and A-122 define advertising costs as "the costs of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like."

Generally applying the circulars to LSTA projects, the only allowable advertising costs are:

- recruitment of personnel for the LSTA grant projects;

1-4-3

- procuring or acquiring goods, equipment, and services for the performance of LSTA grant projects;
- disposal of surplus materials acquired in the performance of LSTA grant projects (except where SLAAs are reimbursed for disposal costs at a predetermined amount); and
- other specific purposes necessary to fulfill the requirements of the LSTA grant.

With respect to LSTA, an SLAA can advertise for staff to assist in the implementation of a state-wide database, for equipment and software necessary to implement the databases, and for training of library staff in the use of the database.

B. Public Relations Costs

OMB Circulars A-21, A-87, and A-122 establish that the definition of <u>public relations</u> "includes community relations and means those activities dedicated to maintaining the image of the [institution, governmental unit, non-profit] or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public."

These circulars establish, with respect to LSTA grant projects, that allowable <u>public relations costs</u> include:

- costs specifically required by the grant award for a specific LSTA grant project.

Typically, allowable <u>public relations costs</u> are specific expenses involved in a project to inform the public or the press about specific LSTA grant projects. Public relations costs, such as brochures and bookmarks, charged to an LSTA project to carry out that <u>specific</u> project would be allowable. However, a general message such as "libraries are good places and deserve to exist" would be considered unallowable. As a further example, it would not be an allowable cost on an LSTA project for an SLAA to hire a photographer to take photographs of library patrons for a press release highlighting the importance of libraries**.** However, using a photographer to take photographs to let users know about the availability of an LSTA-funded service in furtherance of a specific LSTA-funded projects would likely be allowable.

C. Unallowable Advertising and Public Relations Costs

OMB Circulars A-21, A-87, and A-122 also provide direct examples of unallowable advertising and public relations materials. With respect to these circulars, SLAAs **may not** use LSTA grant funds to cover:

- any advertising or public relations costs other than specified as allowable by the circulars;
- costs of meetings, conventions, convocations, or other events related to other non-LSTA grant activities of the organization (including the costs of displays, demonstrations, exhibits, meeting rooms, hospitality suites, other special facilities

used in connection with special events, and salaries and wages of employees engaged in setting up exhibits and providing briefings);

- costs of promotional items and memorabilia including models, gifts, and souvenirs; and
- costs of advertising and public relations designed solely to promote the SLAA or a library in general.

SLAAs should both be very cautious in approving any item which may fall into the prohibited cost categories set out above and consult with the appropriate Program Officer for guidance.

D.   Promotional Materials

As set forth above, OMB Circulars A-21, A-87, and A-122 do not allow costs of promotional items and memorabilia including models, gifts, and souvenirs to be applied as allowable costs to LSTA grant awards. However, based on questions received by the Office of State Programs, the purchase of items that may have a promotional nature arise frequently for both SLAAs and their sub-grant recipients.

Following is a listing of promotional items that SLAAs have asked the Office of State Programs about and that should be carefully reviewed by SLAAs on a case-by-case basis before their cost is approved out of LSTA award funds: bookmarks, postcards, T-shirts, mugs, books, bags, CDs, calculators, banks, jump ropes, ties, scarves, bibs, safety plugs, hats, rubber stamps, sidewalk chalk, jigsaw puzzles, patches, flying disks, paint sheets, plastic bags, trading cards, stretch band watches, gel bracelets, posters, door hangers, magnetic bookmarks, pennants, megaphones, figurines, banners, book packs, mini-pad holders, and message magnets. Please note that the foregoing list is illustrative; its inclusion in this Guideline does not imply that these items are per se allowable. Each item should be carefully scrutinized in the context of its specific corresponding project.

As stated above, the OMB Circulars prohibit these items from being used as gifts, models, or souvenirs. The purchase of these items with LSTA funds is rarely an allowable cost unless SLAAs and sub-grant recipients have a clearly demonstrable and legitimate purpose for the purchase and distribution of these items that is directly related to the LSTA grant project. A general guiding question often used is whether a prudent person would determine that the items are directly related to the LSTA grant project, and a factor may be whether the items are more educational and informational in nature than promotional. Since often these items are more promotional in nature, and therefore are an unallowable cost, many libraries partner with businesses and other organizations to cover the costs of promotional materials.

Each SLAA should ensure that their sub-grant recipients understand the OMB Circular restrictions regarding promotional items such as those listed above. The Office of State Programs encourages SLAAs to provide written instructions to their sub-grant recipients on the use of LSTA grant awards for promotional items as this is a common area of confusion for LSTA sub-grant recipients.

III.   **LSTA Public Relations/Advertising Activities, Workshops, & Projects**

   A.   **LSTA-Funded Public Relations/Advertising Activities**

   Subject to the restraints of OMB Circulars A-21, A-87, and A-122, public relations/advertising in support of a specific LSTA-funded project are allowable. This means that there can be a public relations/advertising component to a project that provides a service or program that meets any of the six LSTA priorities. For instance, the SLAA could develop brochures or announcements that inform potential participants or users about the availability of an LSTA-funded summer reading program or state on-line database.

   B.   **Workshops/CE Activities on Public Relations/Advertising**

   Again, subject to the restraints of the three afore-cited OMB Circulars, LSTA funds may be used to conduct workshops that teach librarians how to engage the public in specific library services and programs. The workshops would be instructional, rather than promotional. There should not be a component of the workshop that would fund the actual production of public relations materials, etc., unless the material were designed to carry out a specific LSTA-funded project.

   C.   **Public Relations/Advertising Projects**

   Public relations/advertising projects per se are not allowable uses of LSTA funds EXCEPT in furtherance of addressing priorities 5 and 6 of the LSTA legislation. (See page 1) This means that a project whose purpose is to promote or market libraries or their services may not be funded with LSTA dollars unless they are used to address those groups identified in priorities 5 and 6.

IV.   **Conclusion**

   The intent of the IMLS LSTA program is to support specific projects (that meet the six statutory priorities) and their related costs. The OMB Circulars provide further guidance on allowable and unallowable costs. SLAAs need to familiarize themselves with the limits on allowable costs for LSTA grant funds for advertising and public relations costs and must be aware of the explicit restrictions set out in the OMB Circulars. SLAAs should also make sub-grant recipients aware of the limitations on allowable costs for LSTA grant funds for advertising and public relations costs and provide written guidance where appropriate on this issue. **Please contact your State Program Officer for further guidance on advertising, public relations, and promotional materials costs as well as with general questions on allowable costs.**

                                                   Dated: April 27, 2007

Administrative or Indirect Rates

A. Administrative or Indirect Rates Charged by Contractors

Administrative rates are defined as those costs associated with the management and oversight of an organization's activities. The rates established by this policy are considered reasonable rates; thus, rates charged in compliance with these rates do not require supporting documentation.

Administrative rates charged by contractors may not exceed eight (8) percent of total contract costs billed except as set forth below.

1. Administrative rates charged by a university system may not exceed ten (10) percent of total contract costs billed.
2. Administrative rates that are charged under a contract with a university system where the parties jointly drafted the grant application shall be the administrative rate submitted in the grant application.

B. Administrative or Indirect Rates Charged by Sub-grantees

Administrative rates are defined as those costs associated with the management and oversight of an organization's activities. Under the Library Services and Technology Act (LSTA) grant from Institute of Museums and Library Services (IMLS) to Missouri State Library of the Office of the Secretary of State, no administrative or indirect costs are allowed to sub-grantees for grant purposes. Only direct costs are allowable through LSTA grant sub-awards.

LSTA Program Five-Year Plan
For Years 2008 – 2012

LSTA Five-Year Plan
2008-2012

For Submission to the
Institute of Museum and Library Services

Margaret M. Conroy
State Librarian

Missouri State Library
600 W. Main Street
Jefferson City, MO 65102

Table of Contents

Missouri Five-Year State Plan: 2008–2012 Library Services and Technology Act

Mission Statement

The Missouri State Library works to strengthen libraries and library leadership in Missouri communities and strives to ensure Missourians have equal access to library services.

Meeting the Needs of Missourians

The Missouri State Library staff is pleased to present this thorough plan which moves Missouri's libraries forward to meet the needs of state residents. This plan responds to the needs expressed by Missouri library staff and governing bodies in "town hall" meetings, strategic planning meetings, evaluations and surveys of numerous library programs and the LSTA five-year plan for 2003-2007. The issues identified, and many of the suggested programs, are a direct result of this transparent process.

The following brief introduction to Missouri's libraries and demographics status helps frame the information needs of Missourians.

Missouri Landscape

On a typical day, a Missouri Public Library:
- Welcomes 7,109 visitors.
- Circulates 132,040 items.
- Shares 1,482 items through interlibrary loan.
- Answers 15,961 reference questions

Missouri's population is clustered in a few areas of the state, with only two large metropolitan areas of Kansas City and St. Louis. Growth and development has concentrated along the I-70 and I-44 corridors. An examination of the annual public library statistical data submitted to the Federal State Cooperative Data Service reveals key patterns and trends which need consideration for the LSTA plan. Development of public library service reflects the general population distribution, with just seven library districts serving 55% of the state's population located in the two metro areas plus the areas of Springfield and Columbia. Twenty-two library districts are considered medium-sized, serving between

30,000 and 150,000 in population; several of these are multi-county districts. Of 150 library districts, 121 libraries serve populations of fewer than 30,000; or 21% of the state's population; all but a few of these districts are in rural areas of the state. Of 115 counties, 28 have only municipal library districts, and residents of unincorporated areas prevail on the good will of those libraries, or pay nonresident fees, to access library services. Three counties – Lincoln, Ozark, and Taney - still have no tax-supported library service. In total, 478,698 persons do not have tax-supported public library service. (Chart 1; Table 1)

Library service in Missouri's rural libraries is largely delivered by staff without benefit of any college level courses in library science. These staff are dedicated members of their communities, but are in need of training in library techniques and practices. While 81% of the staff titled 'librarian' in the seven large libraries have an MLS, the percentage drops to 40% in libraries serving populations of 150,000 to 30,000, and even further to 11% in the smallest libraries. Of the 150 public libraries, 101 library directors do not have an MLS degree; of those, 51 do not have a college degree. (Chart 2)

Chart 1:

Mo Public Libraries by Population

Category	Value
All public libraries	5,116,513
Largest Public Libraries, pop over 150,000 (7)	2,826,361
Medium, 150,000 to 30,000 (22)	1,252,914
Small libraries, under 30,000 (23)	544,134
Smallest libraries, under 15,000 (98)	543202
Unserved area	478,698
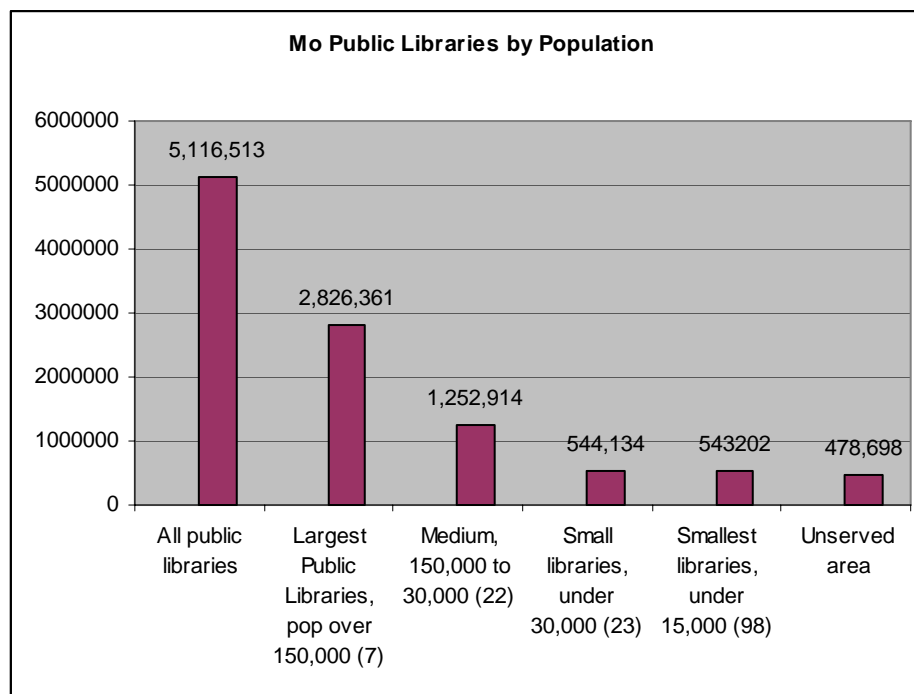
Source: 2006 Public Library Statistical data.

Table 1:

Missouri	*Number*	*Population*
All public libraries	150	5,116,513
Largest Public Libraries, pop over 150,000	7	2,826,361
Medium, 150,000 to 30,000	22	1,252,914
Small libraries, under 30,000	23	494,036
Smallest libraries, under 15,000	98	544,134

Missouri libraries have some advantages in using technology to benefit our citizens. MOREnet (Missouri Research and Education Network) provides high-speed, reliable Internet access to the state's public sector through a combination of state, local, and E-rate funds. A unit of the University of Missouri System, MOREnet serves Missouri's K-12 schools, colleges and universities, public libraries, state government, teaching hospitals and other affiliates. Training and technical support are also provided. The public library portion of MOREnet, which connects 236 sites, is funded by state appropriations and used for match and maintenance of effort for LSTA.

Missouri has also used technology to develop good strategies for sharing libraries' materials collections. Most public and private academic libraries are members of MOBIUS, a shared platform for their library catalogs. MOBIUS users may request materials directly from other institutions, which are then delivered through a courier system. Currently, only two public libraries and no K-12 libraries participate in MOBIUS. LSTA funds have been used to load the bibliographic records of public libraries into OCLC's WorldCat database, which through the Show Me the World program provides users the means to locate desired resources.

Demographics
Missouri's population increased by an estimated 40,778 or 0.71 percent between July 1, 2004 and July 1, 2005. With 5,800,310 people, Missouri has the 18th largest population among the states and the District of Columbia. Since the 2000 Census, population in the state has increased by 205,099 (3.7 percent) compared to the national average of 5.3 percent growth. Population estimates in 2001 stated that Missouri would not reach this number until 2010. A medium-sized state both in geography and population, Missouri shares in national trends toward diversity in population, expansion of ex-urban areas, and growth in some once rural areas, while other rural areas are in economic decline. Demographics and population statistics were taken from Missouri State Census Data Center[1]. Following are some trends important to the development of this plan.

---

[1] http://mcdc2.missouri.edu

Hispanic Population
Latinos in Missouri have the lowest level of education with over 50% without a high school diploma. In Missouri, 78,876 people speak Spanish at home. This demographic tends to cluster around the larger cities.

Senior Population
Missouri's 65+ age population has started increasing and is expected to continue increasing into the coming years.

Missouri Assessment Program (MAP) Test
MAP tests are a series of tests which measure how students in Missouri are meeting the state's "Show-Me Standards". The Show-Me Standards are guides for what students in grades K-12 should know and be able to do. For the past 8 years reading scores have been steadily increasing on the reading portion of the MAP test.[2]

Cost of Living
Missouri Economic Resource Information Center (MERIC) derives the cost of living index for each state by averaging the indices of participating cities and metropolitan areas. In the fourth quarter of 2006, Missouri had the sixth lowest cost of living in the United States. Missouri's cost of living for the fourth quarter of 2006 was 91.3; the national average is 100.[3]

However, Missouri has a large portion of the population that is cost-burdened for housing. A person is cost-burdened for housing if over 30% of their income is used for housing costs.
- Owners with Mortgage – 26%
- Owners without Mortgage – 11%
- Renters – 41%

Employment in Missouri
Manufacturing jobs are declining in Missouri. Two-thirds of job growth from 1984-2000 was associated with college-level jobs. College graduates earn 51% more than High School graduates with no college. Public Libraries in Missouri employ over 3,000 people.

Economic Share
There is a wide range of relative economic development across the state, which tends to cluster along the interstate highways and around urban areas. Table 1 presents those counties that account for a large proportion of the state's economy, based on employment, population, and income. St. Louis County (21.2%) and Jackson County (12.2%) together tally over one-third of the state's

---

[2] http://www.dese.mo.gov/divimprove/assess/State_MAP2005_Reading.pdf
[3] http://www.missourieconomy.org/indicators/cost_of_living/index.stm

economy. Conversely, Worth County accounts for only 0.3% of the state's economy. The pattern on the map follows the major interstate highways from Kansas City to St. Louis and St. Louis to Springfield. While Christian and Lincoln Counties are not on the list, they are in the top 75 counties for growth in the United States (U.S. Census Bureau). Despite this growth there is still not a tax-supported public library in Lincoln County.

Economic Share in Missouri by County 2000-2003
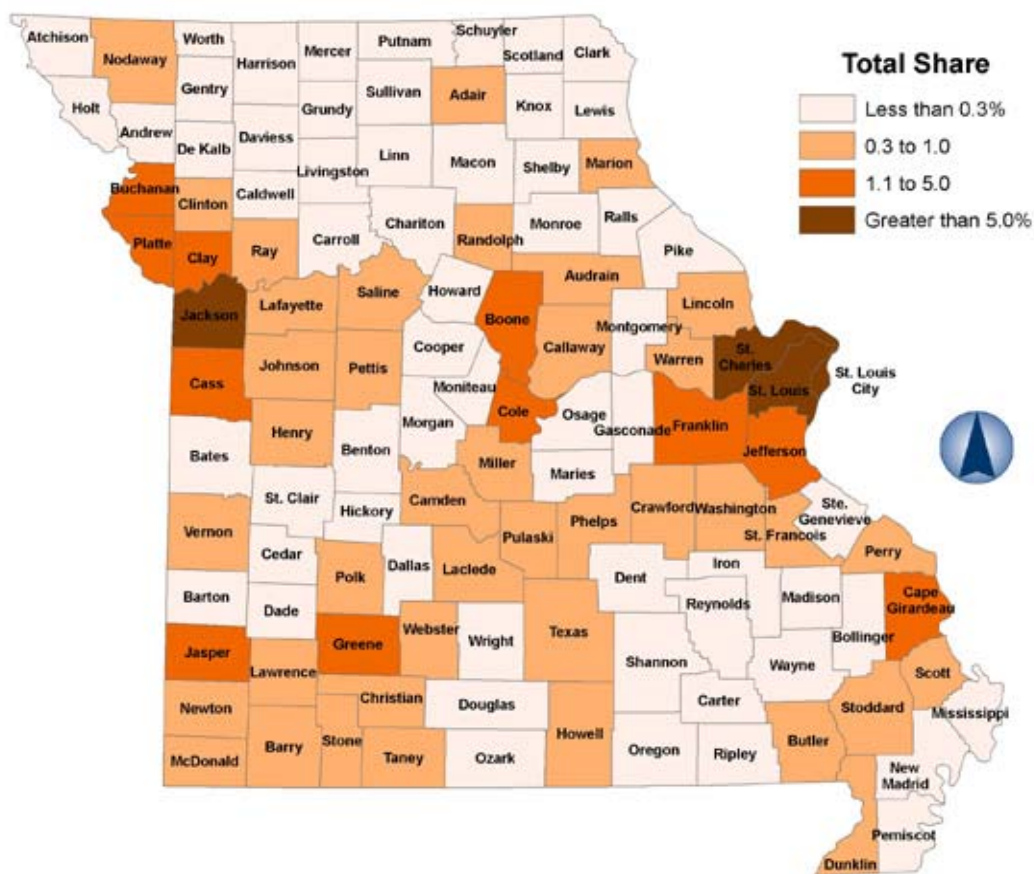
Data Sources:
Total Personal Income data from U.S. Department of Commerce, Bureau of Economic Analysis.
Annual Population data from U.S. Census Bureau mid-year population estimates.
Employment data from U.S. Bureau of Labor Statistics, Local Area Unemployment

Issue #1: Technology Challenges and Opportunities

NEED: The public expects technology to provide fast and boundless access to information in all formats. Costs, skill levels, and infrastructure development present ongoing challenges. Infrastructure, electronic data content, bibliographic databases, and access to private, costly collections are areas of challenge for Missouri libraries. Each area of challenge is described in detail within the next few pages.

Summary Needs Assessment:
- Public libraries serve as the sole source of Internet access for people of all socioeconomic backgrounds to participate in the ever-increasing electronic environment. The annual state appropriation for the REAL (Remote Electronic Access for Libraries) Program provides Internet access, training and technical support for public libraries. These funds are used as Missouri's required match for the LSTA program.
- Adequate connectivity continues to be a concern as libraries increase their use of technologies requiring higher bandwidth.
- In 2006, Missouri ranked 21st in identity theft victims by state, as reported by the Federal Trade Commission. As a result, secure networks are a necessity.
- Public libraries need to upgrade their technology infrastructure and approximately 30% of these libraries need financial assistance to proceed with implementation.
- Twenty-five percent of libraries that submitted new technology plans for participation in E-rate services indicated the need to develop or upgrade their library website.
- Wolfner Library for the Blind and Physically Handicapped is eagerly planning for the changeover to digital content and players, to improve both breadth of available materials and ease of access for their users.

GOAL #1: Missouri libraries will provide robust, reliable and secure access to information to meet the needs of all Missourians by utilizing efficient and effective telecommunications and technology capable of reaching the patron at the point of need, promoting good use of staff time, working well within a network environment and able to adapt to technological advances as needed.

> **LSTA Priorities:**
> - *Developing library services that provide all users access to information through local, state, regional, national and international electronic networks; and,*
> - *Providing electronic and other linkages among and between all types of libraries; and,*
> - *Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages.*

A. Key Output Targets toward goal:

1. The State of Missouri will continue to support the REAL program through sufficient state appropriations in keeping with program cost demands.
2. 100% of libraries needing to upgrade equipment due to security concerns will do so by 2012.
3. By 2012, independent access to library services will be expanded:
    a. Forty libraries will create new or improved websites so patrons can access quality information from remote locations
    b. Five libraries will add self-service portals within their libraries or communities
4. Improved telecommunications access for public library patrons and staff realized by 2012:
    a. Thirty libraries will add or upgrade wireless access points
    b. 10% increase in use of the public library videoconference network.
    c. 5% increase from 2008 to 2012 in electronic communications that foster resource and idea sharing between libraries and library staff.
5. Twenty libraries will implement system software or hardware to improve the operation of their network

B. Key Outcome Targets toward goal:

1. By 2012 public libraries will have affordable and sufficient data lines, bandwidth and technical support through MOREnet and the REAL program as measured by MOREnet monitored bandwidth, technical support calls and customer satisfaction surveys.
2. Reduce security risk by 2012 through network audits, remote vulnerability assessments, and follow-up reports.
3. There will be a 20% increase in user satisfaction with library websites and online services by 2012.

C. Programs:

1. **REAL Program:** Continuance of library participation for statewide connectivity, technical support and training. *Timeframe: FY2008-2012*
2. **Secure Systems:** Perform remote vulnerability audits, network assessments or other mechanisms to identify security risks. *Timeframe: FY2008-2012*
3. **Technology upgrades and technical support:** Provide through grants and other means. *Timeframe: FY2008-2012*

4. **Website Development:** Offer website template program targeting libraries with no or inadequate sites. *Timeframe: FY2008-2012*

5. **Technology Skills Training:** Provide or promote training opportunities to enhance skills in technology planning and effective use, to increase customer satisfaction with services. *Timeframe: FY2008-2012*

6. **Wolfner Library for the Blind and Physically Handicapped:** Wolfner library staff will implement the conversion to the digital talking book player in accordance with National Library Service guidance. *Timeframe: 2009-2011*

ISSUE #2: Access to Electronic Content

NEED: Access to electronic resources in libraries is necessary to gain the knowledge required to compete in an increasingly electronic economy.
ISSUE
Summary Needs Assessment:
- Public expectations for finding and using electronic content, including text, audio, and video, have expanded exponentially in recent years. This is documented extensively in library surveys and reports, and cited repeatedly by Town Hall meeting participants.
- Public awareness of libraries as providers of authoritative content is fairly low, as shown by comparatively high 'don't know' responses when asked to rate satisfaction with the library's website and online services (37%) and Internet and computer services (33%). Only 39% indicated they had accessed the public library's resources online. (2006 Follow-Up Survey of Missourians conducted for the LSTA Evaluation)
- The REAL Program appropriation currently provides state funding for four types of database services. Without this program, most public and school libraries would not be able to afford access to even core content databases. Statewide agreements help bring costs down. In Town Hall meetings participants indicated a strong desire for additional content, and assistance with development of cost-effective means for its purchase.

GOAL #2: Enable residents to locate and easily use electronic content by providing databases and content in various formats, as well as, training and tools for searching and using it effectively.

LSTA Priorities:
- *Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks.*

A. Key Output Targets toward goal:
1. 20% increase in overall usage of electronic database resources provided through statewide agreements by 2012.
2. Increase by 20% the number of persons who indicate remote usage of local public library's resources, as indicated on a statewide citizen survey by 2012.
3. At least one staff member from 40 of the 63 libraries with low electronic database usage in 2006-2007 will participate in training on effective searching by 2012.

B. Key Outcome Targets toward goal:
1. User satisfaction with library's website and online services will increase by 20% as shown on statewide citizen survey.

2. Usage of electronic database resources by 63 libraries with current low usage will increase 25% by 2012, as compared to 2006-2007 usage.

C. Programs:

1. **Electronic content:** Leverage LSTA, state, and local funding through statewide contracts, grants, and cost-sharing processes to increase electronic content available for libraries including databases and other formats; continue technical support for statewide licensed databases. *Timeframe: FY2008-2012.*
2. **Search Relevancy and Retrieval:** Research and develop ways to improve search results, including search portals and appropriate federated search tools; explore demonstration programs to improve use and dissemination of best search tools and techniques. *Timeframe: FY2008-2012*
3. **Content Selection:** Provide training for library staff for collection development and effective administration of electronic resources, develop curriculum, schedule and conduct workshops and/post online tutorials. *Timeframe: FY2008-2012*
4. **Content Usage:** Provide staff training, particularly targeted toward smaller libraries, to develop curriculum, schedule and conduct workshops, and post online tutorials. *Timeframe: FY2008-2012*
5. **Public Education**: Develop and implement statewide public education about electronic content available at libraries. Provide online tutorials, quick search sheets, and other training content for use by libraries in user education. *Timeframe: FY2008-2012.*

ISSUE #3: Access to Library Materials

NEED: No one local library collection can meet the needs of all its users.

Summary Needs Assessment:
> Discovery of available materials via OCLC and other library databases is increasing the demand for interlibrary loan by Missouri citizens.
>
> Increasing costs of postage are causing libraries to reduce, restrict or eliminate interlibrary loan service or require patrons to pay a fee. For example, only one-third of tax-supported public libraries in Missouri are using the OCLC interlibrary loan service.
>
> Library patrons need a technological infrastructure that facilitates searching, discovery and requests for a broad range of library materials in a cost-effective manner.

GOAL #3: Libraries will have technology that supports construction of a statewide union catalog, searching and discovery of materials not in their local collections, patron-initiated borrowing and a courier service to provide low-cost, efficient delivery of materials from other libraries.

LSTA Priorities:
- *Develop library services that provide all users access to information through local, State, regional, national, and international electronic networks; and,*
- *Provide electronic and other linkages among and between all types of libraries.*

A. Key Output Targets toward goal:
1. 75% of Missouri public libraries will participate in statewide courier service with a minimum weekly stop by the end of 2009;
2. 100% of Missouri public libraries will participate in statewide courier service with a minimum weekly stop by the end of 2012.
3. 100% of libraries still using card catalogs will have their records converted to MARC format
4. The total number of holdings set in WorldCat will increase by 25%.
5. Total number of public libraries deleting holdings in WorldCat will increase by 25%.

B. Key Outcome Targets toward goal:
1. Overall interlibrary loan activity will increase in Missouri libraries by 25% by 2012.
2. 25% of public libraries not using ILL will begin lending and/or borrowing by 2012.

3. 10% of public libraries will increase their use of ILL by 50%.
4. All Missouri public libraries will eliminate fees for interlibrary loan use by citizens.

C. Programs:

1. **Statewide Union Catalog:** Maintain a statewide union catalog to display holdings of all public libraries. *Timeframe: FY2008-2012*
2. **Increase Catalog Records:** Promote and fund retrospective conversion and batchload of records to the statewide union catalog. *Timeframe: FY2008-2012*
3. **Automated Library Systems:** Fund acquisition of automated library systems. *Timeframe: FY2008-2012*
4. **Patron-initiated Direct Borrowing:** Initiate pilot projects in patron-initiated direct borrowing. *Timeframe: FY2008-2012*
5. **Electronic ILL Transactions:** Fund the cost of electronic ILL transactions. *Timeframe: FY2008-2012*
6. **Statewide Courier Service:** Partner with existing services or use other means to develop statewide courier service for public libraries to interface with existing courier service serving the MOBIUS consortium. *Timeframe: FY2009-2012*
7. **Staff Skills Training:** Provide or promote training opportunities for library staff to develop skills needed to help users access library materials through these programs. *Timeframe: FY2008-2012*

ISSUE #4: Cultural Heritage and Digitization

NEED: Library users increasingly expect to have their information needs met by access to digital content and librarians need to acquire the skills and expertise to meet this expectation.

Summary Needs Assessment:
- Libraries are moving from a collection-centered model to an access-centered model.
- Demand from journalists, historians, public officials, attorneys, authors, genealogists and ordinary citizens for historical materials on the Internet is growing daily and this demand is boosted by the increasing ability of students to learn and use new technologies.
- As demand for digital content has grown, the market has grown as well and there is a wide variety of document and image management database software available. This will facilitate expanded delivery of digital materials to library staff and library users.
- The Missouri State Library has provided funding for several years for statewide digitization efforts, but only 27% of all known digital imaging projects have been cataloged and made searchable via the Virtually Missouri statewide database.

GOAL #4: Expand Missouri's cultural heritage digitization infrastructure in order to involve more stakeholders, digitize more historical materials and make them accessible to more user communities via the Internet.

LSTA Priorities:
- *Develop library services that provide all users access to information through local, State, regional, national, and international electronic networks; and,*
- *Provide electronic and other linkages among and between all types of libraries.*

A. Key Output Targets toward goal:
1. Add collection level and/or item-level metadata records for all of the 159 known digitization projects in Missouri to the statewide database by 2012.
2. Increase individual training in the use of digitization software by 100% by 2012.
3. 5% increase in participation of statewide digitization efforts by underserved institutions such as museums, special libraries, historical societies and community colleges by 2012.
4. Increase institutions participating in statewide digitization efforts by 50% by 2012.
5. Increase number of digital collections in statewide digitization efforts by 50% by 2012.

B. Key Outcome Targets toward GOAL:
1. 100% of digital collections hosted on the statewide database will be in compliance with established metadata and imaging standards.
2. Digital collections in the statewide database will be used by 20% more universities, libraries and public schools.

C. Programs:

1. **Competitive Grants:** Fund competitive grants for digital imaging projects. *Timeframe: FY2008-2012*
2. **Statewide Digitization Grants:** Provide statewide digitization grants to fund large-scale projects with multiple stakeholders. *Timeframe: FY2008-2012*
3. **Inventories of Historical Materials:** Conduct inventories of historical materials to be digitized. *Timeframe: FY2008-2012*
4. **State Imaging Center:** Participate in creating a state imaging center to scan and catalog materials for institutions without adequate digitization infrastructure. *Timeframe: FY2008-2012*
5. **Central Database:** Maintain a central database of all digital collections in Missouri. *Timeframe: FY2008-2012*
6. **Workshops:** Hold workshops on digitization planning, scanning, metadata and database software. *Timeframe: FY2008-2012*
7. **Conferences and Project Presentations:** Organize conferences and project presentations. *Timeframe: FY2008-2012*
8. **Involve Stakeholders:** Conduct outreach and involve stakeholders in advisory groups, pilot projects and focus groups. *Timeframe: FY2008-2012*
9. **Public Education:** Develop outreach materials, including bookmarks, flyers and brochures, to educate the public about the availability of digital historical resources. *Timeframe: FY2008-2012*
10. **School Involvement:** Develop a collaborative program with the Missouri Department of Elementary and Secondary Education to incorporate digital materials in the public school curriculum. *Timeframe: FY2008-2012*

Issue # 5: Program Services

NEED: Many library users have needs that their local libraries cannot meet. The median age level in rural populations is increasing as young people are moving to more suburban centers. Poverty levels continue to be high in urban and rural areas. English literacy is decreasing because of students leaving school and because of the influx of immigrants who are not fluent in English.

Summary Needs Assessment:
- English as a Second Language programming is essential to create a knowledgeable workforce and productive citizens. Reaching immigrant populations will become an even more essential element of library services around the state.
- The lack of reading ability will cause poverty to continue into the next generation of unqualified workers. According to the National Adult Literacy Survey (NALS) report, respondents with lower level literacy skills, or Level 1 skills, earned approximately $410 per week less than those at a Level 5. Without good reading skills, individual low-level readers and their financial dependents can suffer.
- As rural citizens become older, their needs are more defined by health issues, and the lack of volunteer opportunities and community outreach programming. Libraries can provide assistance with research, volunteer opportunities and programs related to issues seniors need most. According to *65+ in the United States*[4], the older population is on the threshold of a boom, growing from 35 million to 72 million from 2010 to 2030.
- All groups of citizens in Missouri need to maintain lifelong learning habits to improve their well-being and take an active part in their communities. Continued promotion of lifelong learning through library usage is necessary to the health of a community and its citizens.
- Based on the results from the 2003 State Assessment of Adult Literacy (SAALS) designed by National Center for Education Statistics (NCES) for Missouri, literacy in Missouri was lowest for adults age 65 and older. Nearly 40% have "below basic" literacy.
- State general revenue funds provide for incentives for youth summer reading programs, and GED and bilingual materials for youth. LSTA funds are used to support staff training, programming and services to underserved audiences.
- Not including those living in institutions, 973,627 people in Missouri reported a sensory, physical, mental, and/or self-care disability in the 2000 census. 42.6 percent of the population age 65 and older reported one or more of these disabilities. The growth of the aging population only intensifies the need for continuation of services to this special population.

---

[4] U.S. Department of Health and Human Services, 2005

- To meet these fluctuating needs of their communities, libraries will need to plan, create and maintain relevant programming and services. Missouri libraries will need to keep up with changes and technological demands, which includes searching for innovative programming and services for adults and more specifically older adults.
- In Missouri's rural areas, few staffs have had professional training and would benefit from training classes and workshops on the basic levels of library service for their communities. Staffs of small libraries very often do not have time, funds or ability to travel to access available training. Eighty-six public libraries serving 474,173 people are staffed by less than five full-time equivalent staff. It is very difficult for staff in these small libraries to participate in appropriate training. (2006 Public Library Statistical Report to FSCS).
- As new technologies are improving access to information and new channels of communication, the library staff needs training on how to use the technology effectively with their public.

GOAL #5: Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.

LSTA Priorities:
- *Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages and needs; and,*
- *Target library services to individuals of diverse geographic, cultural, and, socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or limited information skills; and,*
- *Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.*

A. Key Output Targets toward GOAL:
1. Librarians, with the training and grant opportunities offered by the Missouri State Library, will provide a continuation of current programs and introduction of new programming for more library users of all ages. This will result in a 10% increase in adult and youth programs offered as measured by the 2008 and 2010 Annual Statistical Reports.
2. Increase the number of grants awarded for programs that will benefit low-literacy users, people with disabilities, special needs, and diverse cultural and socioeconomic backgrounds as

evidenced by a comparison of the data in the 2007 and 2011 LSTA State Progress Reports (SPR).

3. Librarians will receive the necessary guidance to implement successful Summer Reading programs for children and/or teens as indicated by registration statistics and data maintained for LSTA workshops.

4. 50 additional library staff will be trained to implement better programs for teens and to incorporate teen input for program planning as indicated by registration statistics and data maintained for LSTA workshops.

5. Increased number of programs will be initiated and/or continued for individuals requiring adaptations to use library services, having language barriers, and whose economic situations discourage regular library use. Maintenance of a high percentage of user satisfaction will be indicated on the semi-annual Wolfner Library for the Blind and Physically Handicapped survey—comparison of surveys conducted in 2007, 2009, and 2011.

6. Increase number of previously non-participating public libraries sending staff to training by 5% between 2008 and 2012.

7. Increase number of training opportunities utilizing alternative technology mediums by 10% between 2008 and 2012.

8. Increase number of previously non-participating libraries applying for training grants by 10% between 2008 and 2012.

B. Key Outcome Targets toward GOAL:

1. People with low-literacy levels will benefit from bridging the learning gap through an increase in the number of participants in literacy study groups and the use of literacy improvement products in libraries. Comparison of the 2007 and 2008 SPR will indicate a 25% increase in both libraries applying for literacy related grant programs and a 25% increase in participation in these programs.

2. Youth participation in Summer Reading and Teen Summer Reading Programs will increase by 10% by 2012, based on data from Summer Library Program evaluations.

3. 20% more libraries will form Teen Advisory Groups between 2008 and 2012 as indicated by comparing the 2008 and 2011 Annual Statistical Report.

4. Increased library participation by people in Missouri who have special needs as evidenced by maintaining the high percentage of customer satisfaction on the Wolfner Library for the Blind and Physically Handicapped satisfaction survey.

5. Library personnel will complete follow-up surveys after attending workshops. By 2012, 30% percent of workshop attendees will report they applied new concepts or techniques

introduced at workshops within six months of returning to their libraries.

6. Library personnel attending workshops will be introduced to concepts and techniques to improve library service and programming for customers. By 2012, 60% of library customers completing a random customer satisfaction survey will rate their satisfaction level with children and teen programming at public libraries as "high" or "very high." Fifty percent of library customers completing a random customer satisfaction survey will rate their satisfaction level with adult programming at public libraries as "high" or "very high."

7. Increase usage of public libraries as indicated on annual statistical reports by 10% by 2012 in areas of visits, circulation, program participants, and others. Library users will benefit from LSTA funded training for librarians and subsequent programs offered, as well as grant opportunities provided by LSTA funds.

8. Library personnel without library science degrees will complete intensive training on concentrated library skills and will have the opportunity to earn a certificate of recognition for completing the curriculum between 2008 and 2012. Seventy-five percent of recognition certificate recipients will report a broader understanding of library practices and procedures on a follow-up survey.

C. Programs:

1. **Expanding and improving community library services:** Provide grants and training for library staff and trustees on a) planning, development and implementation of library services, including needs assessment, resource allocation, implementing change; b) collaboration and partnerships; c) program evaluation, including use of peer evaluation, balanced scorecard, benchmarking, comparative statistics and other means. Appropriate library service improvement outcomes will be identified and reported for these grants and trainings. *Time frame: FY2008-2012*

2. **Improve Staff Service Competencies:** Continue Skills Institutes and other intensive trainings for library staff who have not had the benefit of graduate-level library science coursework. The Skills Institute curriculum is targeted to meet the needs for library service of underserved rural and urban communities. Certificates of recognition are awarded for completion of the extended cycle program. *Time frame: FY2008-2012*

3. **Scholarships:** Continue to offer scholarships for students to obtain the graduate degree in library science needed for professional positions. Students will be required to include several courses addressing LSTA purposes, such as understanding and using technology, youth services, collection development, and using electronic resources. Students are required to work in publicly supported libraries a matching number of months in proportion to the level of funding provided toward their degree.

4. **Youth Services:** Conduct training workshops supporting reading, language development, and youth library services for library staff working with youth and provide grant opportunities to implement related programs. *Time frame: FY2008-2012*

5. **Adult/Senior Services:** Conduct training emphasizing customer service to adults, particularly special populations, and offer grant opportunities for adult and senior programming. *Time frame: FY2008-2012*

6. **Literacy Programs:** Conduct training and offer grant opportunities to libraries that encourage reading programs, language skills development, encourage academic improvement, and GED instruction. The Missouri State Library will encourage staff collaboration with other literacy organizations around the state to better serve low-literacy populations. *Time frame: FY2008-2012*

7. **Wolfner Library:** Continue to support services for library users with disabilities by providing library services in alternative formats. *Time frame: FY2008-2012*

8. **Innovation/Demonstration Programs:** Offer grant opportunities and staff training that encourage libraries to use innovative programming or creative collaboration with other libraries or community organizations. *Time frame: FY2008-2012*

Issue #6: Childhood Education Support

Need: Missouri school children need access to research and curriculum support materials in a variety of formats.

Summary needs assessment:
- Much of the funding for school libraries is the responsibility of the Missouri Department of Elementary and Secondary Education (DESE). Because of the priorities demanded from DESE funding, K-12 libraries find it difficult to receive support for training, services, materials and equipment.
- Students with visual and learning disabilities need special assistance to access appropriate reading materials

GOAL #6: Strengthen reading and homework support services to Missouri's school children.

LSTA Priorities:
- *Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages.*

A. Key Output Targets Toward Goal:
1. The Missouri State Library will provide Missouri school children at least one additional curriculum support database or service, available through public libraries, by 2012.
2. Wolfner Library for the Blind and Physically Handicapped will increase new child patron registrations by 3% by 2012.

B. Key Outcome Targets for Goal:
1. Collaborative activities between school and public libraries will increase by 10% from 2008 to 2012.
2. Use of Wolfner Library youth resources will increase by 5% by 2012.

C. Programs:

1. **Reference Services and Homework Support:** Investigate statewide initiatives to serve residents' needs. Such initiatives could include collaborative online programming or vendor-based services. *Timeframe: FY2008-2012.*
2. **Wolfner:** Continue to provide materials suitable for children of all ages with reading and visual disabilities. *Timeframe: FY2008-2012.*

Issue #7: Collaboration and Cooperation

NEED: Libraries in Missouri need opportunities to learn how to collaborate with other libraries and community agencies and to communicate what is working and what is not working in their regions.

Summary Needs Assessment:
- Missouri libraries need access to "best practice" information for new and innovative programs to draw new patrons to their facilities.
- Library staffs need more communication from the Missouri State Library about library services available to them through the Missouri State Library and other library sources.
- Library users will benefit from libraries piloting new service models emphasizing collaboration and partnerships, and implementing successful programs more widely through training and template grants.
- Librarians need access to information about changes in federal or state regulations and programs and services available to them through public and private partners.

GOAL #7: Provide library staff access to information about innovative programs, regional cooperatives, partnerships between other libraries and community agencies.

LSTA Priorities:
- *Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages; and,*
- *Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks; and,*
- *Develop public and private partnerships with other agencies and community-based organizations.*

A. Key Output Targets toward GOAL:
1. Participation on website forum for Success Stories with an annual increase of 10% participation with 2008 as a baseline.
2. Increased number of local libraries becoming actively involved in collaboration projects as evidenced through the 2008–2012 SPR project data.
3. Increased participation in pilot and template programs as evidenced through the 2008–2012 SPR project data.

B. Key Outcome Targets toward GOAL:
1. Five percent increase from 2008 to 2012 of open communication built into planning process for innovative

projects measured by number of program workshops, letters of intent, and training provided for the grant awards.
2. Increased partnering for regional projects measured by an increase of 5% in the number of Cooperation Grants by 2012.
3. Improve customer service survey scores on the LSTA online survey by 5% and/or decrease number of "No Opinion" responses by 2012.
4. 5% increased submission rate of articles from local libraries into Show-Me Libraries newsletter by 2012.

C. Programs

1. **Best Practices and Success Stories:** Provide opportunities for project directors to showcase their libraries' achievements with LSTA funded projects through articles in different media outlets. Missouri State Library staff will work with local librarians to develop training opportunities to help staff develop effective promotional activities for their LSTA programs. Submit articles of Missouri Libraries Success with LSTA programs to national publications each year of the LSTA plan. LSTA-funded promotion will be confined to LSTA-funded projects. *Timeframe: FY2008-2012*
2. **Cooperative Activity:** Encourage continued cooperative efforts by providing grant programs that develop partnerships. Collaborative projects that involve different types of libraries for patron services, outreach programs to underserved populations, and staff training opportunities will be developed. Workshops will be available in regional areas on how to develop programs, write grants, and manage projects. *Timeframe: FY2008-2012*
3. **Communication:** Expand and improve communication from MOSL to the library community in both print and electronic formats. The website will be overhauled to create an informative and interactive tool for library and public use. Print and electronic communications will focus on library service expansion and improvement and grant opportunities. *Timeframe: FY2008-2012*
4. **Cooperative Efforts with Public and Private Partners:** Continue collaborative project planning and approaches with other public and private state, local and national entities, including schools, higher education institutions, the Center for the Book in the Library of Congress, U.S. Census Bureau, Federal State Cooperative Statistics program, and Missouri's library, literacy, and technology partners. Collaborate with library training providers, organizers and users to promote a coordinated approach to training statewide. *Timeframe: FY2008-2012*

ISSUE #8: Statewide Services

NEED: Missouri citizens need access to quality resources and library services which will be achieved by promoting larger units of service, collaboration among libraries, and consulting services to library staffs.

Summary Needs Assessment:
- Citizens in three Missouri counties have **no** tax-supported library service, 28 counties have no county-wide service, a total of 478,698 or 9% of the population.
- Participants in the 2007 Town Hall meetings expressed a strong need for collaborative projects and tools to improve public services.

GOAL #8: Provide every Missouri citizen with library service by helping citizens extend tax-supported library service to each county in Missouri or to expand existing city libraries into county districts where no prior county library exists, and to ensure that those library services are provided in an effective and efficient manner to expand services to maximum resource capacity.

LSTA Priorities:
- *Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;*
- *Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;*

A. Key Output Targets Toward Goal:
1. 5% more Missourians will reside in a tax supported library district by 2012.
2. Missouri State Library consultants will increase by 20% on site visits for grant monitoring and library service development.

B. Key Outcome Targets for Goal:
1. Collaborative activities between school and public libraries will increase by 10% from 2008 to 2012.
2. Six counties currently with only municipal library service will establish a county-wide library district.

C. Programs:

1. **Larger units of service:** Promote through consultant advisory services, demonstration grants and encouraging collaborations among existing library districts. *Timeframe: FY2008-2012*
2. **Library consulting services:** The Missouri State Library will provide information and assistance to libraries on expanding services for learning and access to information and educational resources, on using technologies to expand electronic networks and provide electronic and other linkages among all types of libraries, on developing public and private partnerships, and on providing library services for persons meeting the LSTA criteria for targeted assistance. *Timeframe: FY2008-2012*
3. **Professional Collection:** Maintain a collection of materials for consultation and loan to local libraries. *Timeframe: FY2008-2012*

Summary of Planning and Implementation Procedures

Stakeholder Involvement Procedures

The Secretary of State's Council on Library Development reviewed and approved a design for preparation of the Missouri Five-Year Plan. MOSL contracted with Missouri Training Institute of the University of Missouri, College of Business to facilitate twelve "Town Hall" meetings throughout the state. Well over 150 people were involved in the meetings. Participants were from the library communities, including various library staff members, but also mayors, councilmen, trustees, and concerned citizens.

With information provided from the Town Hall meetings, an LSTA Strategic Planning Conference was held on May 9 and 10, 2007 to develop goals and programs for the next five years. Thirty-five people from different types of libraries and related stakeholders gathered to define the issues, the needs, and the goals for the Missouri Plan.

The final document was written by Missouri State Library development staff. It was endorsed by the Secretary of State's Council on Library Development for submission to the IMLS.

Communication Procedures

When notification from IMLS of the approval of the Missouri State Plan is received, the plan will be published on the MOSL website. Statewide promotion of the new plan will be provided through newsletters, announcements at the Missouri Library Association conference in October 2007, and other meetings during that time period. Printed copies will also be available upon request from MOSL.

Missouri citizens have reason to celebrate the achievements of the 2003-2008 LSTA plan. Announcing the success of the program will provide opportunities for more participation and recognition in library communities across the state. Goals and outcome targets achieved under the 2008-2012 plan will be published in IMLS State Progress Reports, press releases, MOSL newsletters, website announcements, and other means as they become available.

Monitoring Procedures

As the designated State Library Authorizing Agency (SLAA) granted federal Library Services and Technology Act (LSTA) funds through the Institute for Museum and Library Services (IMLS), the Missouri State Library is required both by IMLS and by OMB Circular A-133 to monitor sub-recipients' expenditures and administration of LSTA funds. IMLS requirements for monitoring sub-recipients' expenditures of LSTA grant awards are described in CFR 1180-1185. In addition, Missouri the State Library follows the preferred method of paying

sub-grantees the majority of grant funds in advance, as specified in CFR 1183.21 (C). Finally, the Missouri State Library's monitoring policies and procedures reflect that provision in OMB Circular A-133 which exempts non-federal entities from single audits of federal awards under $500,000 (in the aggregate within a single fiscal year), but specifies that sub-recipients' "records must be available for review of audit by appropriate officials . . .." for monitoring and audit purposes.

The grant proposal and any project revisions provide the basis for the monitoring process. Each project is expected to closely follow the proposal and any subsequently approved project revisions. Monitoring of grant project is handled in several ways, including phone calls, e-mails, formal reports, and site visits. Typically, a project will be monitored by MOSL consultant staff either at the project site or by telephone. During the visit, the consultant will observe project operation, examine related documents, and meet with project staff to gather additional information about the project. The type of monitoring chosen is dependent on a number of factors such as size of the grant award, maturity and complexity of the project. After the monitoring visit, the consultant will prepare a written report. Copies of the report are sent to the library, maintained in MOSL grant files, and provided as requested or required.

The Missouri State Library works to strengthen
libraries and library leadership in Missouri communities
and strives to ensure Missourians have equal access to library service.
--Missouri State Library Mission Statement

The Library Services and Technology Act (LSTA), the major federal grant program for libraries, is provided through the Institute of Museum and Library Services (IMLS). It is a state-based program with a mandate:

- to use technology to bring information to people in innovative and effective ways
- to assure that library service is accessible to all, especially those who have difficulty using the library
- that emphasizes public libraries, but encourages interlibrary cooperation and partnerships with all types of libraries
- that emphasizes accountability and evaluation for all funded projects

IMLS has identified four purposes and six priorities for the use of Library and Services Technology Acts (LSTA) funds.

LSTA Purposes

1. **Consolidate Federal Library Services:** Consolidate Federal library service programs
2. **Improve Library Service:** Promoting improvement in library service in all types of libraries in order to better serve the people of the United States
3. **Cultivate an Educated and Informed Citizenry:** Facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry
4. **Encourage Resource Sharing:** Encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public

LSTA Priorities

1. **Expanding Services for Learning:** Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
2. **Developing a Strong Technology Infrastructure:** Developing library services that provide all users access to information through local, State, regional, national and international electronic networks
3. **Providing Online Access to Materials:** Providing electronic and other linkages among and between all types of libraries
4. **Developing Partnerships:** Developing public and private partnerships with other agencies and community-based organizations
5. **Supporting an Educated and Informed Citizenry:** Targeting library services to individuals of diverse geographic, cultural and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. **Serving the Underserved:** Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with income below the poverty line

The Missouri State Library administers the grant program to all types of libraries in Missouri based on the purposes and priorities of LSTA and developed from the goals and outcomes identified in *Missouri State Library LSTA Program: Five-Year Plan for Years 2008 to 2012.*

Missouri State Library LSTA Five-Year Plan Goals

1. **Technology Challenges and Opportunities:** Missouri libraries will provide robust, reliable and secure access to information to meet the needs of all Missourians by utilizing efficient and effective telecommunications and technology capable of reaching the patron at the point of need, promoting good use of staff time, working well within a network environment and able to adapt to technological advances as needed.
2. **Access to Electronic Content:** Enable residents to locate and easily use electronic content by providing databases and content in various formats, as well as training and tools for searching and using it effectively.
3. **Access to Library Materials:** Libraries will have technology that supports construction of a statewide union catalog, searching and discovery of materials not in their local collections, patron-initiated borrowing and a courier service to provide low-cost, efficient delivery of materials from other libraries.
4. **Cultural Heritage and Digitization:** Expand Missouri's cultural heritage digitization infrastructure in order to involve more stakeholders, digitize more historical materials and make them accessible to more user communities via the Internet.
5. **Program Services:** Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.
6. **Childhood Education and Support:** Strengthen reading and homework support services to Missouri's school children.
7. **Collaboration and Cooperation:** Provide library staff access to information about innovative programs, regional cooperatives, partnerships between other libraries and community agencies.
8. **Statewide Services:** Provide every Missouri citizen with library service by helping citizens extend tax-supported library service to each county in Missouri or to expand existing city libraries into county districts where no prior county library exists, and to ensure that those library services are provided in an effective and efficient manner to expand services to maximum resource capacity.

In evaluating the needs of the Missouri library community in light of the LSTA purposes and priorities, the Missouri State Library submitted a plan to IMLS which would provide funding for competitive grant opportunities. Libraries seeking grants will be asked to identify which LSTA priority and Missouri State Library goal are addressed through the project and give specific examples of how the project will meet its identified need.

Missouri State Library

LSTA State FY13
Project Plan

Approved
April 6, 2012

LSTA Grant Projects – Funding from Federal FY 2012
(To be spent in State FY 2013– July 1, 2012 to June 30, 2013)

LSTA Statewide Projects

Missouri State Library Goal 1: Support a Strong Technology Infrastructure

LSTA Priority 2: Developing a Strong Technology Infrastructure

MOBIUS Users' Conference   *CONTINUING*
Proposed Budget: $35,000
Consultant: Ann Roberts (Continuing Education)
The Annual MOBIUS Users' Conference is one of the largest educational events for academic librarians in Missouri. The conference program enhances skills and abilities in the use of the Common Library Platform system to provide students effective access to library content. Other learning sessions address topics such as digitization, student instruction, developing collections, and improving searching through cataloging. As a result of conference attendance, librarians are better educated and equipped to provide improved library service to their academic communities.

The conference is planned by a MOBIUS committee, but also provides a strong partnership opportunity for MOSL. The conference budget is also supported through exhibits, vendor contributions, and MOBIUS funds.

The State Library responsibility involves participating in the MOBIUS Conference planning committee to monitor LSTA compliance, promoting the event, and funding through the LSTA program.

WebJunction Missouri   *CONTINUING*
Proposed Budget: $50,000
Consultants: Jean Morrison (Electronic Services) and Ann Roberts (Continuing Education)
WebJunction Missouri is a customized web portal, at http://mo.webjunction.org, that serves as a learning resource for library staff, to improve the ability of libraries to use technology to serve the public. For FY2013 State Library staff will continue updating and developing the site, and try out strategies to encourage input and discussion from the library community. Course participation will be encouraged, and monitored for completion rate. The extensive online course catalog contains over 300 online, self-paced tutorials and webinars on a wide variety of topics in which library staff, volunteers and trustees can enroll at no charge, providing an opportunity for registrants to self-identify a topic of need and address it at a time of their convenience.

Missouri State Library Goal 2: Provide Access to Electronic Content

LSTA Priority 1: Expanding Services for Learning

Statewide Network, Online Resources Support and Promotion   *CONTINUING*
Proposed Budget: $2,679
Consultant: Jean Morrison (Electronic Services)
The project continues to promote statewide database products through the production and distribution of posters, flyers, and bookmarks targeted to users of health data, business resources, K-12 teachers and students, and the general periodical database.

Missouri State Library Goal 3: Provide Access to Library Materials

LSTA Priority 3: Providing Access to Materials

Show Me the World   *CONTINUING*
Proposed Budget: $351,543
Consultant: Carl Wingo (Automation and Digitization)
This provides an integrated set of electronic services to facilitate resource sharing by public libraries. Funds are used to provide a statewide license for interlibrary loan (ILL); discount pricing for CatExpress, and access for users to search a 1 billion record database of library materials.

Show Me the World Courier Service   *CONTINUING*
Proposed Budget: $294,739
Consultant: Carl Wingo (Automation and Digitization)
The State Library will continue to support a two-day per week courier service for every tax-supported public library in Missouri. Providing state funding for the courier service improves turn-around time for interlibrary loan requests, streamlines and improves library staff workflows, increases the number of loans and requests, lowers the cost for each ILL transaction and helps to equalize access to resources for medium-size and small libraries.

Integrated Library System Consortium
Proposed Budget: $277,988
Consultant: Carl Wingo (Automation and Digitization)   *CONTINUING*
This project continues consortium support for the purposes of acquiring and implementing a shared integrated library system (ILS). This system improves discovery and sharing of library resources and provides a low-cost alternative to systems owned and managed individually by libraries. The consortium recruits primarily from public libraries, but could include school and special libraries as well.

In FY2013, the ILS will build upon the pilot project that was funded in the LSTA FY 2012 Project Plan. It will be the first of five successive annual migrations of libraries from their stand-alone integrated library systems to the consortium server's union catalog.

Missouri State Library Goal 4: Preserve Cultural Heritage Via Digitization

LSTA Priority 1: Developing a Strong Technology Infrastructure

Statewide Digitization Project   *CONTINUING*
Proposed Budget: $1,300
Consultant: Carl Wingo (Automation and Digitization)
This project informs county and local governments; public, academic and school libraries; local history societies; larger cultural heritage institution, and the general public about the current and planned resources collections created with LSTA grant funding and available via the Missouri Digital Heritage website.

In FY2013, special emphasis will be placed on promoting the Missouri County History project, a multi-year, multi-phase effort to digitize historical materials pertaining to specific counties in the state of Missouri. These include published county histories, plat books, atlases, city directories and other historical sources.

Missouri State Library Goal 5: Strengthen and Expand Program Services for All

LSTA Priority 5: Supporting an Educated and Informed Citizenry
LSTA Priority 6: Serving the Underserved

Adult and Senior Services Development   *CONTINUING*
Proposed Budget: $15,000
Consultant: Ann Roberts (Continuing Education)
This project will benefit library users by making library staff more aware of the types of issues surrounding adult and senior populations. During this fiscal year topics will focus on adult literacy, improving customer service, creating better library programming, services to people with disabilities, health literacy, and business and job skills development.

Literacy Services Development   *CONTINUING*
Proposed Budget: $25,080
Consultant: Naphtali Faris (Youth Services)
This project will provide training in the development and implementation of literacy-based services for public library staff members and their community partners. Project costs include Adult and Family Literacy Workshops ($1,800) and Early Literacy Workshops ($23,280).

Services to Persons Having Difficulty Using the Library   **CONTINUING**
Proposed Budget: $36,100
Consultant: Ann Roberts (Continuing Education)
This project is twofold. The first continues the successful partnership with the Department of Mental Health (DMH) to improve services for persons with mental health and/or developmental disabilities. DMH will target training of public library staff to improve the services which those persons receive when they use their local public library. The FY13 project typically is developed in the spring ($31,100).

The second continues training efforts to better serve bilingual populations, including support of the Spanish That Works…in the Library workshops ($5,000).

Youth Services Development   *CONTINUING*
Proposed Budget: $39,980
Consultant: Naphtali Faris (Youth Services)
Provides training in the development of library programs targeting youth from birth through grade 12. Topics include but are not limited to children's services, tween services, and teen services. During FY13, training will focus on summer reading programs for children and teens ($34,730); a webinar series with topics on Creating Partnerships Between Public Libraries and School, Incorporating Technology into Library Programming for Teens, and Programming for School Age Children on the MASL Reader Awards ($3,000); and a Mock Caldecott videoconference ($2,250).

Library Skills Training *EXPANDED*
Proposed Budget: $87,912
Consultant: Ann Roberts (Continuing Education)
Library skills trainings are designed to deliver instruction on two levels: basic and advanced. Delivery methods vary based on topic and need.

Multi-day intensive sessions will cover a range of library skills focused on improving public library service to patrons. End user audiences are children, youth, adults, seniors, and underserved and unserved populations ($64,312).

An MLA e-book preconference will be offered to enhance skills, knowledge, and abilities for program attendees in the use of e-books and e-readers to provide library patrons effective access to library e-content. Learning sessions will address topics such as e-books, e-readers, patron-instruction, developing e-book collections, and e-book/e-reader lending ($5,100).

Trustee and director trainings will address public library administration and management. Topics for library trustees will include requirements of Federal and State laws that govern procedures and practices of library Boards of Trustees; trustee responsibilities and effective strategies to improve library board management; and tong term strategic planning. Topics for library directors will include staff development; library strategic planning; and boundaries, responsibilities and effective strategies used when working with library boards ($18,500).

Wolfner Library Services *CONTINUING*
Proposed Budget: $284,000
Wolfner Library Director: Richard Smith
Provides circulation services and materials for persons with physical difficulties in using print. This amount is appropriated through the General Assembly.

Missouri State Library Goal 6: Childhood Education Support

LSTA Priority 5: Supporting an Educated and Informed Citizenry

No LSTA projects anticipated during this fiscal year. State funds continue to support funding for the curriculum support database provided through a contract with MOREnet.

LSTA funds used in support of Wolfner services are listed under Goal 5. Wolfner Library continues a strong program of support for youth education, through services for schools, summer reading club for youth, and work with individual children and youth.

Missouri State Library Goal 7: Support Cooperation to Improve Services

LSTA Priority 4: Developing Partnerships

No LSTA projects anticipated during this fiscal year. Partnerships are explored and encouraged in all projects.

Beginning in State Fiscal Year 2013, Continuing Education Committee expenses are incorporated into the Library Development budget.

Missouri State Library Goal 8: Expand Library Service to Areas with No Public Library Service; Help Libraries Provide Best Possible Services

LSTA Priority 1: Expanding Services for Learning
LSTA Priority 6 Serving the Underserved

Library Development   *CONTINUING*
Proposed Budget: $638,500
Division Director: Barbara Reading
The Missouri State Library provides information and assistance to libraries on expanding services for learning and access to information and educational resources, on using technologies to expand electronic networks and provide electronic and other linkages among all types of libraries, on developing public and private partnerships, and on providing library services for persons meeting the LSTA criteria for targeted assistance. In addition to consultant services, staff manages statewide projects, prepares publications, offers statistical support, and maintains a collection of materials for consultation and loan to local libraries.

This amount is appropriated through the General Assembly. This includes funds used for the administration of the LSTA grant program.

Secretary's Council on Library Development   *CONTINUING*
Proposed Budget: $3,000
State Librarian: Margaret Conroy
The Council advises the Secretary of State and the State Librarian on all matters that relate to the state's libraries and library service to Missouri citizens; to recommend programs to the Secretary of State and the State Librarian; and to communicate the value of libraries to people in the state and to those who are responsible for libraries.

Competitive Grants

Missouri State Library Goal 1: Support a Strong Technology Infrastructure

LSTA Priority 2: Developing a Strong Technology Infrastructure

Proposed Budget: $317,000

Technology Ladder   **CONTINUING**
Consultants: Jean Morrison (Electronic Services) and Carl Wingo (Automation and Digitization)
Provide a comprehensive technology enhancement grant that will help libraries improve their computer security, network performance, and provide reasonable computer resources to their patrons. Proposals are due in March 2012 for projects beginning July 2012 ($142,000).

Technology Mini Grant   **CONTINUING**
Consultants: Jean Morrison (Electronic Services) and Carl Wingo (Automation and Digitization)
Open to qualified public libraries needing to replace, upgrade or add new equipment or software. Projects should be of short duration including compilation of adequate evaluation measures. Proposals are due July 2012 for projects beginning September 2012 and January 2013 for projects beginning April 2013 ($150,000).

Website Makeover   **CONTINUING**
Consultants: Jean Morrison (Electronic Services) and Carl Wingo (Automation and Digitization)
These grants are for public libraries to develop or redesign a website for more effective service delivery. Projects are required to be ADA compliant, contain a translation link, and link to state resources. Applicants are required to plan for ongoing maintenance and upgrades. Proposals are due in March 2012 for projects beginning July 2012 ($25,000).

Missouri State Library Goal 2: Provide and Facilitate Use of Electronic Content

LSTA Priority 1: Expanding Services for Learning

(Note this is a primary goal of the REAL program which we use as a match for the LSTA grant. Some competitive grants may also have this as a secondary goal.)

Missouri State Library Goal 3: Provide Access to Library Materials

LSTA Priority 3: Providing Access to Materials

(Note this is a primary goal of the Show Me the World program. Some competitive grants may also have this as a secondary goal.)

Missouri State Library Goal 4: Preserve Cultural Heritage Via Digitization

LSTA Priority 1: Developing a Strong Technology Infrastructure

Proposed Budget: $280,000

Digital Imaging Grants   **CONTINUING**
Consultant: Carl Wingo (Automation and Digitization)
These grants provide funding for scanning, cataloging and Web delivery of significant historical and cultural materials in Missouri and in Missouri history. Grants are restricted to projects involving original source materials. Priorities include importance of the collection including demonstration of patron demand; institutions doing their first project; demonstration projects that document best practices; projects involving underserved partners; and institutions adding metadata to existing digital collections. Proposals are due in March 2012 for projects beginning July 2012 ($280,000).

Beginning in State Fiscal Year 2013, Digital Imaging Grant Review Committee expenses are incorporated into the Library Development budget.

Missouri State Library Goal 5: Strengthen and Expand Program Services for All

LSTA Priority 5: Supporting an Educated and Informed Citizenry
LSTA Priority 6: Serving the Underserved

Proposed Budget: $255,000

Scholarships   **CONTINUING**
Consultant: Ann Roberts (Continuing Education)
This program is for students pursuing a master's degree in library science or school library media certification who have already been accepted into the Missouri State Library Scholarship Program. Scholarship funds are limited to tuition costs and academic fees. The program requires the recipient to work in a publicly funded library upon graduation. No new applications are being accepted. ($5,000)

Show-Me Steps to Career Development   **CONTINUING**
Consultant: Ann Roberts (Continuing Education)
Provide financial assistance for Missouri library personnel and public library trustees to participate in continuing education and training opportunities, with some match of funds by local institutions. Applications are accepted throughout the year ($20,000)

Spotlight on Literacy   **CONTINUING**
Consultant: Naphtali Faris (Youth Services)
This grant program offers Missouri public libraries, academic libraries, and secondary or post-secondary school libraries the opportunity to serve patrons of all ages through programs that support an educated and informed citizenry. Programs may encourage reading, language skills development, academic improvement including GED instruction, job skills development, computer skills development, and health literacy skills development. Collaborative efforts to better serve low-literacy populations are strongly encouraged. Proposals are due in March 2012 for projects beginning July 2012 ($55,000)

Summer Library Program Grants   **CONTINUING**
Consultant: Naphtali Faris (Youth Services)
Provide libraries with additional funds to expand opportunities for people of all ages to improve their reading skills, enrich summer learning experiences, and enhance opportunities for libraries to reach underserved summer populations. Applications are due in November 2012 for projects beginning February 2013 ($175,000).

Missouri State Library Goal 6: Childhood Education Support

LSTA Priority 5: Supporting an Educated and Informed Citizenry

(Some competitive grants may have this as a secondary goal.)

Missouri State Library Goal 7: Support Cooperation to Improve Services

LSTA Priority 4: Developing Partnerships

(Some competitive grants may have this as a secondary goal.)

Missouri State Library Goal 8: Expand Library Service to Areas with No Public Library Service; Help Libraries Provide Best Possible Services

LSTA Priority 1: Expanding Services for Learning
LSTA Priority 6 Serving the Underserved

(Note this is a primary goal of Missouri State Library, Library Development. Statewide projects and competitive grants may have this as a secondary goal.)

Statewide Projects   *CONTINUING*
Consultant: Varies
Grants to promote standards and best practices and to encourage and support networking, collaboration and resource sharing among Missouri's libraries. Projects must meet goals and objectives of the Missouri State Library LSTA Program Five-Year Plan for Years 2008-2012. Applications are available on an inquiry or invitation basis as funds allow.

LSTA SFY2013 Funding Allotment: $2,994,821		
PROGRAM	BUDGET	PROJECT BREAKOUT
BASIC EQUIPMENT	$ 319,679.00	
Statewide Network Support		$ 2,679.00
Technology Ladder		$ 142,000.00
Technology Mini Grant		$ 150,000.00
Website Makeover		$ 25,000.00
CONTINUING EDUCATION	$ 314,072.00	
Adult and Senior Services Workshops		$ 15,000.00
Literacy Programs Development: All ages and KET/GED		$ 25,080.00
MOBIUS Conference		$ 35,000.00
Serving the Underserved: Disability-related and ESL		$ 36,100.00
Scholarships		$ 5,000.00
Show Me Steps to Career Development		$ 20,000.00
Library Skills Trainings, including Trustee and Director Trainings		$ 87,912.00
WebJunction Missouri		$ 50,000.00
Youth Services Workshops, include Summer Reading		$ 39,980.00
LIBRARY PROGRAMS	$ 175,000.00	
Summer Library Program Grants		$ 175,000.00
LITERACY AND FOREIGN LANGUAGE	$ 55,000.00	
Spotlight on Literacy, including Community Read Programs		$ 55,000.00
STATEWIDE DIGITIZATION	$ 281,300.00	
Digital Imaging		$ 280,000.00
Statewide Digitization		$ 1,300.00
SHOW-ME THE WORLD	$ 924,270.00	
Courier Service		$ 294,739.00
Integrated Library System Consortium		$ 277,988.00
Statewide Show Me the World		$ 351,543.00
WOLFNER LIBRARY	$ 284,000.00	
P/S Facilities		$ 240,000.00
E/E		$ 44,000.00
LIBRARY DEVELOPMENT		
PS/Facilities	$ 570,000.00	$ 570,000.00
E/E	$ 71,500.00	
LSTA Administration including DIG review committee		$ 2,100.00
LD Adult Services Development		$ 1,300.00
LD MDHI Development		$ 1,300.00
LD Library Skills Development including CE committee		$ 25,500.00
LD Operation Support		$ 15,000.00
LD Technology Updates		$ 15,000.00
LD Technology Services Development		$ 5,300.00
LD Youth Services Development		$ 3,000.00
Secretary's Council on Library Development		$ 3,000.00
	$ 2,994,821.00	$ 2,994,821.00

The Grant Application Process

1. **Identify the need**
   Describe the problem so you can focus on the desired outcome. Envision the solution and what needs to be accomplished to create the desired result.

2. **Identify potential funding resources**
   If seeking Library Services and Technology funding from the Missouri State Library, what grant application best fits the scope of the project? Occasionally you may need to apply for two separate grants to bring the project to complete fruition.

   Find out if a local match is required. If so, what local resource(s) will you use? Local match can be local tax dollars or private donation, from a local or other funding source. Do not use other state or federal funds such as state aid or equalization dollars as the local match.

3. **Identify applicable regulations and statutes**
    Federal regulations provide the guidelines that federal agencies and their sub-grantees must adhere to in administering federal programs. There are two sources of regulations for the LSTA program: the Code of Federal Regulations (CFR) and Office of Management and Budget (OMB) Circulars. (The Circulars are being systematically integrated into the CFR.) There are three groups of regulations central to the administration of the LSTA Grants-to-States program and two more groups that address specific issues that the LSTA must be aware of and abide by.

	Government (public libraries)	Colleges	Nonprofit
Uniform Administrative Requirements	A-102	2 CFR 215	2 CFR 215
Cost Principles	2 CRF 225	2 CFR 220	2 CFR 230
Audit	A-133	A-133	A-133

With respect to state and local statutes and regulations, the important issue to consider is whether they differ from those of the federal government. Federal regulations must always be followed. However, if state or local statutes or regulations are more restrictive than the federal statutes and regulations on

certain issues, e.g. on allowable cost issues, then they supersede the federal statutes and regulations on those specific issues.

4. **Plan well**
Careful planning is essential to the success of any grant project. This involves breaking your project into manageable components, including the activities, the evaluation approach, and the schedule and resources you will need to follow to complete the project successfully and on time.

5. **Write the grant and send it in ON TIME**

6. **Grant review**
The evaluation process is quite rigorous and consists of five stages. At any point during the review, the State Library may return to you with questions. The better researched and written the application, the fewer questions will be asked and the faster the process will go. The five stages are:

1. LSTA Grants Officer
2. Library Development Consultants and/or Review Committee
3. Library Development Director
4. Missouri State Librarian
5. Secretary of State Executive Staff

7. **Notification of grant award decision**
All attempts will be made to have applicants notified of the grant award decisions ten days prior to the start of the grant period. Applicants with approved grants will be notified by e-mail and through an award packet sent to the Library and Project Directors. Applicants with denied grants will be notified via a letter sent to the Library and Project Directors.

Common Grant Terminology

1. **Advance** – requesting funds from the State Library before you have actually spent those dollars. First payments are generally advance payments for project startup and continuation costs. These funds should be encumbered before requesting payment.

2. **Balance** – available funds

3. **Bid** – a price offer; formal or informal process

4. **Certification** – assurance that what is stated is true

5. **Cost Analysis** – performed by the library before the application is submitted to the State Library. It shows the current market value of an item, set of items or service.

6. **Encumbrance** – an obligation has been made, but not yet paid for

7. **Obligations** – you have signed an agreement to make a purchase; orders have been placed; or contracts signed for services that require payment in the future

8. **Outcome** – changes in attitude, behaviors, knowledge, skills

9. **Outcome based evaluation** – Looks at the status of the situation before, during and after the project to determine the impact of the project on the community. Questions to consider: What do you hope to gain through the project? What will the successful program look like? What types of data do you need to collect to monitor the results? How will you gather that information? Generally utilizes quantitative and qualitative measurements.

10. **Outlays/expenditures** – actual cash disbursements—payments

11. **Output** – evidence of service delivery. Generally quantifiable. Examples are number of patrons served, network reliability, number of sessions held, number of hours of an activity, etc.

12. **Procurement** – obtaining an item—generally through a purchase

13. **Reimbursement** – requesting payment from LSTA funds, for a service you have already paid for

14. **Results based management** - recognizes that a project is always a work in progress and that major or minor adjustments might be needed as the progress unfolds to have a greater impact on the community.

15. **Unexpended Balance** – the amount of money still to be spent

16. **Unobligated Balance** – money that is not committed within the project. This generally involves local funds or, when anticipated expenditures come in under budget, may be LSTA funds as well.

Missouri State Library
LSTA Grant Call Schedule Fiscal Year 2013

Intermediate Term Grant
Summer Library Program

Application Due	Grant Cycle
November 15, 2012	*February 1, 2013 to August 31, 2013*

Reports Due
May 3, 2013
September 13, 2013

Short Term Grants
Technology Mini Grant

Application Due	Grant Cycle
January 7, 2013	*March 1, 2013 to August 31, 2013*

Report Due
September 13, 2013

Long Term Grants
Digital Imaging	Spotlight on Literacy
Technology Ladder	Website Makeover

Application Due	Grant Cycle
February 1, 2013	*May 1, 2013 to April 30, 2014*

Reports Due
August 30, 2013
December 30, 2013
May 30, 2014

Short Term Grants
Technology Mini-Grant

Application Due	Grant Cycle
July 1, 2013	*September 1, 2013 to March 31, 2014*

Report Due
April 30, 2014

Ongoing
Show Me Steps to Career Development

Applications will be on the SOS Grants website at
http://www.sos.mo.gov/library/development/grants.asp.

Watch **Show Me Express** *or* **WebJunction-Missouri** for grant calls.

Questions? Call Debbie Musselman at 800-325-0131, ext. 14.

TYPES OF GRANTS		TYPE OF LIBRARY			
LIBRARY NEED	**STRENGHTENING SERVICE THROUGH TECHNOLOGY**	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
LSTA PRIORITIES *Expanding services for learning* *Developing a strong technology infrastructure* *Providing online access to materials* *Serving the underserved*	*MISSOURI STATE LIBRARY GOALS* *Technology challenges and opportunities* *Access to electronic content* *Access to library materials* *Cultural heritage and digitization*				
Technology and automation equipment needs including hardware and software *Long term projects*	**Technology Ladder** Open to qualified public libraries needing financial assistance for technology and automation system-related equipment and software. Specifically, this application is designed to help libraries move up the technology ladder to a higher level of service. Projects may be intricate in nature and/or require a longer timeframe to provide solid evaluation measures. Minimum grant award is $5,000; the maximum grant award is $35,000		X		
Technology and automation equipment needs including hardware and software *Short term projects*	**Technology Mini-Grant** Open to qualified public libraries needing to replace, upgrade or add new equipment or software. Projects should be of short duration including compilation of adequate evaluation measures. Minimum grant award is $2,500; the maximum grant award is $15,000.		X		

Digitization of significant historical and cultural materials in Missouri	**Digital Imaging** These grants provide funding for scanning, cataloging and Web delivery of significant historical and cultural materials in Missouri and in Missouri history. Grants are restricted to projects involving original source materials. Priorities include institutions doing their first project; demonstration projects that document best practices; institutions adding metadata to existing digital collections. The minimum grant award is $5,000; the maximum grant award is $75,000.	X	X	X	X	
Website creation, redesign or enhancement	**Website Makeover** Grants to public libraries to develop or redesign a website for more effective service delivery. Required to be ADA compliant, contain a translation link, and link to state resources. Libraries are required to plan maintenance and upgrades for sustainability. The minimum grant award is $2,500; the maximum grant award is $10,000.		X			

	TYPES OF GRANTS	TYPE OF LIBRARY			
LIBRARY NEED	**STRENGTHENING SERVICE THROUGH TRAINING AND PLANNING**	ACADEMIC	PUBLIC	SCHOOL	SPECIAL

LSTA PRIORITIES	*MISSOURI STATE LIBRARY GOALS*
Expanding services for learning	Technology challenges and opportunities
Developing a strong technology infrastructure	Access to electronic content
Providing online access to materials	Access to library materials
Developing partnerships	Cultural heritage and digitization
Supporting an educated and informed citizenry	Program services
Serving the underserved	Childhood education support
	Collaboration and cooperation
	Statewide services

Training for individuals	**Show-Me Steps to Continuing Education** Grants that provide financial assistance for library staff and trustees to participate in continuing education and training opportunities when local funds cannot finance the entire cost. Continuing education events can be for individuals or groups, but must be pertinent to the operational or service needs of the applicant's library. For CE events for individuals, the maximum amount that may be requested is $2,500; the minimum amount is $500. For CE events for groups, the maximum amount that may be requested is $5,000; the minimum amount is $1,000.	X	X	X	X

LIBRARY NEED	STRENGTHENING SERVICES FOR LIFELONG LEARNING	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
LSTA PRIORITIES *Expanding services for learning* *Developing partnerships* *Supporting an educated and informed citizenry* *Serving the underserved*	*MISSOURI STATE LIBRARY GOAL* *Access to electronic content* *Program services* *Childhood education support* *Collaboration and cooperation*				
For programs targeting literacy efforts through GED support, homework help, language skills development, etc.	**Spotlight on Literacy** This grant program offers Missouri public libraries, academic libraries, and secondary or post-secondary school libraries the opportunity to serve patrons of all ages through programs that support an educated and informed citizenry. Programs may encourage reading, language skills development, academic improvement including GED instruction, job skills development, computer skills development and health skills development. Collaborative efforts to better serve low-literacy populations are strongly encouraged. Minimum grant award is $2,500; the maximum grant award is $10,000 per branch.	X	X	X	
Summer Library Programs for children and teens	**Summer Library Program** Grants to expand opportunities for children, teens and adults to improve their reading skills; enrich summer learning experiences; and, enhance opportunities to reach underserved summer populations. The minimum grant award is $2,500; the maximum grant award is $20,000.		X	X	

Grant Application Requirements

1. **Application Form:** Gives an overview of who is responsible for the project and what it entails. For the brief description of the project, if you had the reviewer's attention for only 60 seconds, how would you describe your proposal including its benefits?

2. **Program Narrative:** Includes
   a. LSTA justification (LSTA priority and MOSL goal)
   b. Background information and customer service benefit
   c. Project implementation and maintenance
   d. Project evaluation: How will you identify your baseline? What outputs do you need to gather? How will you obtain outcome measures including anecdotal information?
   e. Publicity: includes letting the public know about the project and acknowledging IMLS funding
   f. Other questions pertinent to the specific grant, such as cooperative activities, sustaining the project beyond the grant period, etc.

3. **Budget Details**
   a. Budget worksheet (LSTA and local funds) – watch match requirements – creates a line item budget.
   b. Budget narrative – describes and justifies all project costs listed on the budget worksheet
   c. Cost analysis for a service, item, or set of the same item totaling $3,000 or more.

4. **Certifications and signatures**
   - Be sure the proper signatures are obtained and that the individuals sign in the correct place
   - In the absence of THE authorizing official, who else can sign documents of this nature?
   - Documents must be signed in blue ink.

   A. Grant Application Certification and Signatures
   Part IV of the grant application is the Certifications and Signatures page. Signatures of both the Library Director and the Authorizing Official are required, or the application will not be considered.

   B. Quality Assurance Forms
   There are a variety of rules and regulations you are required to adhere to in order to insure program integrity, equal access, responsible use of funds, and compliance with federal and state regulations. These are:

   a. The Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements and Assurances – Non-Construction Programs. Make special note of:

- Debarment and Suspension: The certification ensures that those persons working on federally funded projects have not been debarred, suspended, or declared ineligible from receiving federal funds, convicted of or had a civil judgment rendered against them for fraud, embezzlement, theft, false statements, within the preceding three-year period, or had one or more public transactions terminated for cause or default.

- Drug-Free Workplace: Grantees must have a written policy that informs employees that the unlawful possession, distribution, or manufacture of a controlled substance in the workplace is not allowed. The policy must specify what the penalties are for violations. Grantees must have a drug-free awareness program.

- Lobbying: You cannot use these funds to influence federal agency officials or congress, State, or local election, referendum, initiative, or similar procedure.

b. The Assurances – Non Construction Programs. Make special note of:

- Equal Access: You cannot deny service or benefit on the basis of race, color, national origin, age, sex, or disability. Note there is a difference between targeting and exclusion.
- Responsible Use of Funds: Ensures proper planning, management and completion of the project including filing complete interim and final reports with the State Library in a timely manner.

c. Internet Safety Certifications for Applicant Public Libraries, Public Elementary and Secondary School Libraries, and Consortia with Public and/or Public School Libraries
- Assures that libraries using LSTA funds to purchase computers used to access the Internet, or to pay for direct costs associated with accessing the Internet, adhere to Section 9134(f)(1) of the Library Services and Technology Act (20 USC Chapter 72) in that they have in place a policy of Internet safety for minors that includes the operation of a technology protection measure that protects children from computer access to visual depictions that are obscene; child pornography; or harmful to minors; and that this policy is enforced.

d. Business Entity Certification

- Grants administered through the Missouri State Library come under the jurisdiction of the Work Authorization Program [RSMO 285.530 (2)]. In brief, program regulations indicate that any entity receiving a grant award in excess of $5,000 must:

    1) Enroll and participate in the E-Verify federal work authorization program

       AND

    2) File a Business Entity Certification including the electronic signature page of the E-Verify Memorandum of Understanding you received when you enrolled in the E-Verify program, and Work Authorization affidavit with the State of Missouri stating it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services.

***The Missouri State Library works to strengthen
libraries and library leadership in Missouri communities
and strives to ensure Missourians have equal access to library service.
--Missouri State Library Mission Statement***

The Library Services and Technology Act (LSTA), the major federal grant program for libraries, is provided through the Institute of Museum and Library Services (IMLS). It is a state-based program with a mandate:

- to use technology to bring information to people in innovative and effective ways
- to assure that library service is accessible to all, especially those who have difficulty using the library
- that emphasizes public libraries, but encourages interlibrary cooperation and partnerships with all types of libraries
- that emphasizes accountability and evaluation for all funded projects

IMLS has identified four purposes and six priorities for the use of Library and Services Technology Acts (LSTA) funds.

LSTA Purposes

1. **Consolidate Federal Library Services:** Consolidate Federal library service programs
2. **Improve Library Service:** Promoting improvement in library service in all types of libraries in order to better serve the people of the United States
3. **Cultivate an Educated and Informed Citizenry:** Facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry
4. **Encourage Resource Sharing:** Encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public

LSTA Priorities

1. **Expanding Services for Learning:** Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
2. **Developing a Strong Technology Infrastructure:** Developing library services that provide all users access to information through local, State, regional, national and international electronic networks
3. **Providing Online Access to Materials:** Providing electronic and other linkages among and between all types of libraries
4. **Developing Partnerships:** Developing public and private partnerships with other agencies and community-based organizations
5. **Supporting an Educated and Informed Citizenry:** Targeting library services to individuals of diverse geographic, cultural and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. **Serving the Underserved:** Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with income below the poverty line

The Missouri State Library administers the grant program to all types of libraries in Missouri based on the purposes and priorities of LSTA and developed from the goals and outcomes identified in *Missouri State Library LSTA Program: Five-Year Plan for Years 2008 to 2012.*

Missouri State Library LSTA Five-Year Plan Goals

1. **Technology Challenges and Opportunities:** Missouri libraries will provide robust, reliable and secure access to information to meet the needs of all Missourians by utilizing efficient and effective telecommunications and technology capable of reaching the patron at the point of need, promoting good use of staff time, working well within a network environment and able to adapt to technological advances as needed.
2. **Access to Electronic Content:** Enable residents to locate and easily use electronic content by providing databases and content in various formats, as well as training and tools for searching and using it effectively.
3. **Access to Library Materials:** Libraries will have technology that supports construction of a statewide union catalog, searching and discovery of materials not in their local collections, patron-initiated borrowing and a courier service to provide low-cost, efficient delivery of materials from other libraries.
4. **Cultural Heritage and Digitization:** Expand Missouri's cultural heritage digitization infrastructure in order to involve more stakeholders, digitize more historical materials and make them accessible to more user communities via the Internet.
5. **Program Services:** Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.
6. **Childhood Education and Support:** Strengthen reading and homework support services to Missouri's school children.
7. **Collaboration and Cooperation:** Provide library staff access to information about innovative programs, regional cooperatives, partnerships between other libraries and community agencies.
8. **Statewide Services:** Provide every Missouri citizen with library service by helping citizens extend tax-supported library service to each county in Missouri or to expand existing city libraries into county districts where no prior county library exists, and to ensure that those library services are provided in an effective and efficient manner to expand services to maximum resource capacity.

In evaluating the needs of the Missouri library community in light of the LSTA purposes and priorities, the Missouri State Library submitted a plan to IMLS which would provide funding for competitive grant opportunities. Libraries seeking grants will be asked to identify which LSTA priority and Missouri State Library goal are addressed through the project and give specific examples of how the project will meet its identified need.

LSTA GRANT APPLICATION GENERAL INSTRUCTIONS

- Applications should be typed. Narrative portions should be single-sided and double-spaced on 8 ½ X 11 white paper. Do not use binders, folders, notebooks, or staples.
- The application will be photocopied for use by the Grant Review Committee. Fill in the library's name at the top of each sheet. Number the pages. The application form and instructions may be photocopied as needed.
- Answer all questions. Failure to give the required information may eliminate an application from consideration.
- Double-check all math in the budget portion.
- Signatures must be included or the application will be ineligible for consideration.
- Proofread the proposal. Correct spelling, grammar, and typing mistakes before submission.
- Application must remain single-sided. Do not photocopy the application front and back.
- Submit the original completed application forms and **TWO ADDITIONAL COPIES** to facilitate the application review process.

LSTA GRANT APPLICATION ITEMIZED INSTRUCTIONS

Part I: Application Form
- *Project number:* Leave blank.
- *Name of library*: Give the official, legal name of the library.
- *Federal Tax I.D. Number or Missouri Vendor Number if different:* Same as Federal Employee Identification Number (FEIN) or Tax Identification Number (TIN). Make sure this is the Missouri Vendor ID number under which payments should be made. If unsure of the identification number, contact the Missouri State Library for assistance.
- *DUNS Number:* A unique nine-digit sequence recognized as the universal standard for identifying and keeping track of organizations. This number is used by the government to track how federal funds are dispersed. Information about the DUNS number is available on the Institute of Museum and Library Services website at http://imls.gov/applicants/grantsgov/duns.shtm. You can register for a DUNS number online at http://fedgov.dnb.com/webform.
- *Address*: Give the physical and, if different, the mailing location of the library.
- *City, County, Zip Plus Four Code*: Give the city, county and zip+4 code of the library
- *Library Director*: Give the name of the director of the library or library system.
- *Library Director E-Mail Address* and *Phone Number:* Give e-mail address and phone number of the Library Director
- *Project Director or Continuing Education (CE) Participant:* Give the name of person who will oversee the project and serve as a contact for reports or the person who will be attending the continuing education event.
- *Project Director/CE Participant E-Mail Address* and *Phone Number:* Give e-mail address and phone number of the Project Director or CE Participant.
- *Project Title or CE Activity:* Provide a brief title for the project, program or continuing education activity
- *CE Activity Date(s) and Location:* Provide the date(s) and location of the CE event.
- *Additional participating agencies or institutions in the project*: Give the name of other entities partnering with the library for this project.
- *Total population of library's legal service area:* Using the latest available census figures, give the population of the legal service area for all participating agencies.
- *Estimated number of continuing education attendees, program participants or people who will be served by this project:* Give the number of people anticipated to benefit from the project or in the instance of a continuing education or program activity for a group, the anticipated number of people who will attend the event(s)
- *LSTA Funds Requested:* Show the total amount of LSTA grant funds being requested. Round to the nearest dollar.
- *Local Match:* Show the total amount of local funds to be used for the project. Round to the nearest dollar.
- *Project or CE Description*: Provide a concise description of the project or CE activity, not to exceed 250 words and include the desired outcomes or knowledge to be gained.
    - In one or two sentences state the problem
    - In one or two sentences identify the goal of the project, what is hoped to be achieved. It should explain the direct benefit to the individual and/or community
    - In one or two sentences identify the solution, what will be done to solve the problem
    - The remainder of the proposal will provide the details

Part II: Program Narrative

This is the most important part of the application. Attach additional sheets with responses. Organize the narrative using the numbers and headings shown in the application. Type the library's name in the upper right-hand corner of each additional sheet. Add page numbers. Do not use binders, folders, notebooks, or staples. Type and double-space.

Paperclip any support materials to the back of the application following the signature page. If the library is working with a community partner, attach a letter explaining the project resources provided by that partner. A letter must be included for each partner.

Part III: Budget Worksheet and Budget Narrative

Fill in the budget worksheet provided with the application to create a line-item budget to be submitted with the budget narrative. Round all figures to the nearest whole dollar. Check all math. The amounts should match the figures provided on the budget summary estimates on page one of the application.

Provide a budget narrative explaining all anticipated project costs listed on the budget worksheet. Requests for speaker/presenter costs must include fees and a thorough summary of travel expenses. Requests for staff costs must include justification for additional staff hours, the rate at which staff will be paid, and the total number of hours staff will work. Be sure LSTA funded items are fully justified and project specific. Budget categories and descriptions are provided below. Note that grants will vary as to the budget categories that will be eligible for funding as well as local match requirements.

BUDGET CATEGORY	DESCRIPTION
Library Materials	Books, non-print items, software. Available only to public libraries. Maximum of LSTA funding allowed is $500. Requires a 50%, dollar-for-dollar match.
Equipment and Operating Software	Hardware such as computers, printers, whiteboards; operating software such as print/management
Furniture	Desks, chairs, tables, etc. essential to the delivery of services, especially to meet the needs of special populations
Contractual Services	Hiring an agency or individual on contract May include technology support, ADA accommodations, etc.
Personnel	Salaries and benefits for additional library staff or additional staff hours for existing, part-time staff
Public Relations	Project specific associated costs such as advertising media including magazines, newspapers, radio and television, direct mail, exhibits, bid announcements, electronic or computer transmittals, flyers, posters, brochures, etc. See 'Clarifications on Allowable Costs" on page 6.
Supplies	Consumable items used during the project. Paper, art materials, toner, etc. Also include manuals or workbooks needed to plan and implement projects or for Web-based CE activities. Video gaming consoles and accessories are eligible only for public libraries and have a maximum LSTA funding of $500 and requires a 50%, dollar-for-dollar match.
Travel	Mileage, lodging, airfare, meals, taxi, shuttle, etc. Mileage may be estimated at $0.37per mile. Travel costs generally must be within the Missouri State Per Diem Rate. See page 7 for in-state and page 8 and continuing for out-of-state. Lodging costs generally must be within the Domestic Per Diem Rates Guidelines (CONUS) established by the United States General Services Administration: www.gsa.gov/perdiem.
Continuing Education for Individual Staff Member	Workshop or conference registration fees
Other	Items that do not fit into any of the above categories but are necessary to bring the project to successful completion.

Part IV—Certification and Signatures

Signature of CE Participant (if applicable): Used if the grant application is for an individual continuing education participant. **Use blue ink.**

Signature of Library Director: The application must be signed by the administrative head of the library, i.e., the library director, or other administrator, **in blue ink**.

Signature of Library Board President or Authorizing Authority: The library board president or other authorizing authority must sign the application form, **in blue ink**. This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the library board, school, or academic institution understands and approves the intent of the grant and will allow the designated project director or CE participant to oversee the project or attend the training.

Signature of School Principal or Superintendent (school library applicants): The school principal or superintendent must sign the application form, **in blue ink**. This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the school understands and approves the intent of the grant and will allow the designated project director or CE participant to oversee the project or attend the training.

Application Review

The following checklist will be used to determine if the grant application meets the criteria required for the grant to be awarded. Use this as a check to verify that you are submitting a qualified application.

	Inadequate	Needs Correcting	Clarification Needed	Complete
LSTA priority and Missouri State Library goal identified				
Project addresses the identified need(s)				
Application identifies a specific audience				
Application demonstrates strong project plan and manageable timeline				
Appropriate and proactive promotional strategies				
Scope is compliant with guidelines				
Allowable costs				
Budget detailed and justified				
Evaluation/Outcomes measure impact on audience				

Definitions

A **public library** is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.

A public elementary school or secondary **school library** is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.

An **academic library** is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.

A **special library** is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.

A **library consortium** is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

<p align="center">**Clarifications on Allowable Costs**</p>

General Purposes: The State Library receives funds for this program through the Library Services and Technology Act (LSTA) as administered by the Institute for Museum and Library Services (IMLS). IMLS does not allow the State Library to use LSTA funds in support of library management activities including leadership development, staff management, fundraising, advocacy, general marketing, or library design, redesign, space planning and construction.

Advertising: Advertising media includes magazines, newspapers, radio and television, direct mail, exhibits, bid announcements, electronic or computer transmittals, etc. Eligible as long as funds are used to promote the specific program detailed in the grant application and not the library in general.

Public Relations: Specific expenses involved in a project to inform the public or the press about the specific project. Public relations costs, such as brochures, bags and bookmarks, promoting a specific project are allowable. The items should provide concrete information about the program such as gives name and date of the program, specifies targeted audience, how to register, etc. Unallowable items are those that give a general message such as "come to the library and read…we have good books." Also ineligible are costs associated with awards, models, gifts, and souvenirs even if they are specific to the program.

Promotional Items: To be eligible as a supply, the items must clearly be educational and/or informational in nature. The context of the item is paramount. Applicants should be able to clearly show how an item will legitimately relate to and be used as an integral part of an educational component of the program. Items cannot be purely award, prize, or incentive oriented.

Performers: Eligible if there is an educational or informational component that incorporates the theme and has a library tie-in. Think "informances" rather than "performances". Book talks, displays, etc. can help to tie all elements of the program together.

Refreshments: Generally considered as part of entertainment and not integral to the program. Exceptions: breaks and meals associated with an extended *training* opportunity that lasts a minimum of 4 hours. Training for staff must involve participants from outside their own library or library district. The budget for food expenses must meet State purchasing guidelines. Please note the $3.00 maximum for incidentals should be used when requesting food for breaks.

Missouri State Per Diem Rate

EFFECTIVE JULY 1, 2011 - JUNE 30, 2013

FOR INSTATE TRAVEL, THE RATES ARE:

Destination	Breakfast	Lunch	Dinner
Columbia	5	9	16
Jefferson City	5	9	16
Kansas City	7	11	22
Springfield	5	9	16
St. Louis	9	14	27
Other	5	9	16
Kansas City includes Jackson, Clay, Cass, and Platte counties. St. Louis includes St. Louis City and St. Louis and St. Charles counties. The rates for St. Louis apply to Crawford, Franklin, Jefferson, Lincoln, Warren, and Washington counties			

2-6-8

FOR OUTSTATE TRAVEL, DERIVE THE RATE FOR EACH MEAL USING THE DESTINATION MEAL RATE BELOW. THE CURRENT PER DIEM RATES FOR OUT STATE TRAVEL ARE AVAILABLE AT http://oa.mo.gov/acct/pdffiles/Per_Diem_Rates.pdf.

Meal Rate	Breakfast	Lunch	Dinner
30	5	9	16
35	6	10	19
40	7	11	22
45	8	13	24
50	9	14	27
55	10	16	29
62	13	18	31
83	19	26	38

Purposes of Outcome Based Evaluation

IMLS believes the two most important purposes of evaluation are (1) to provide essential information for good decisions about priorities, deployment of resources, and program design and (2) to help communicate the value of initiatives (whether these are programs, services, or organizations– like libraries and museums).

The first step in choosing an evaluation method is deciding why to do it. Here are some good reasons:

- know the extent to which you've met your project or program goals;
- know the progress you've made towards large or long-term goals, and what's still needed;
- know the quality of your program or service (you define "quality" for the purpose of an evaluation–quality can include efficiency, productivity, cost control, effectiveness, value to a community, or a variety of other values);
- know if your program warrants more resources, fewer resources, or no resources at all (should continue, expand, or cease);
- communicate the importance of your program, service, or initiative to potential users, policy makers, and/or resource allocators.

This list is not exhaustive. You may want evaluation to meet all of these needs and more. The more purposes for evaluation, the more thought you need to give its design, and the more complex and expensive it will probably be. Few organizations can afford to cover all these bases. Your choices control scale and cost.

This table shows the four most common categories of messages about libraries or museums with some of the models for collecting and understanding information that typically support them. In order of increasing importance to most decision-makers *outside* the library and museum communities they are:

Message	Information Strategies for Understanding Museum and Library Performance*
How Much We Do	Inputs and outputs: statistics, gate counts, Web use logs, and other measures of quantity and productivity
How Well We Do It	Customer satisfaction, quality benchmarks, rankings

How Much We Cost/What We're Worth	Return on investment and cost:benefit calculations
What Good We Do/Why We Matter	*Outcomes measurement, impact assessment*

See the Webography at http://www.imls.gov/applicants/learning.shtm for examples of these approaches in the library and museum contexts. All of these messages and approaches (and others) can be valid. The *best* evaluation strategy depends on:

- the most important things that you want information to help you do or show,
- who you hope will use the information,
- how you want them to use it, and
- what you can afford or are willing to do.

Once you make those choices, identifying an evaluation approach; choosing methods, instruments, and samples; and developing specs, creating an RFP, or choosing an evaluator are much, much easier.

From: http://www.imls.gov/applicants/overview.shtm

Further information on outcome based evaluation is available at:

Shaping Outcomes (www.shapingoutcomes.org): Shaping Outcomes is an online course on outcomes-based planning and evaluation, which will help participants improve program designs and evaluations. It was developed through a cooperative agreement between IMLS and Indiana University-Purdue University, Indianapolis (IUPUI).

Perspectives on Outcome Based Evaluation for Libraries and Museums

INSTITUTE *of* MUSEUM *and* LIBRARY SERVICES

TABLE OF CONTENTS

INTRODUCTION

The Institute of Museum and Library Services is a steady champion for the role of museums and libraries in our society. As the primary source of federal funding to libraries and museums, we are frequently called upon to tell their stories and to share the impact of their work as community leaders, educational resources, and, guardians of our cultural heritage. Our funding programs support a remarkable range of services, strengthening the ability of museums and libraries to make a true difference in the lives of individuals, families and communities.

The work of museums and libraries, however, takes place in an era of increasing demands for accountability. Such demands have already become a legislative reality with the passage of the Government Performance and Results Act (GPRA) in 1993. This requires every government agency to establish specific performance goals for each of its programs, preferably with performance indicators stated in objective, quantifiable, and measurable terms. Agencies must report on their level of achievement in reaching these goals on an annual basis. The effects of GPRA are also trickling down to state and local government agencies that are using the lead of the federal government to require evidence that all public dollars are well spent.

This is not just a government issue. A similar emphasis on accountability is being incorporated into funding guidelines for most major foundations. From all sides, museums and libraries

Beverly Sheppard

Acting Director, Institute of Museum and Library Services

2

are receiving a clear message. If they are to compete for both public and private funds in an accountability-driven environment, they must develop evaluation practices that provide the most compelling picture of the impact of their services.

In the following two essays, Stephen Weil and Peggy Rudd present clear arguments for the adoption of a specific approach to evaluation known as outcome-based evaluation. They define a system of evaluation that replaces the question, "What have we done to accomplish our goals?" with the question "What has changed as a result of our work?" Taking their lead from evaluation practices adopted by the United Way in 1995, both writers suggest practices that focus on measuring the effects of an institution's work on its public (outcomes) rather than on the services provided (outputs).

The Institute of Museum and Library Services shares both authors' conviction that outcomes-based evaluation holds great promise for museums and

libraries. As a systematic measurement of impact, it may be employed at many intervals during and after the delivery of service, providing short, and long-term indications of a project's effectiveness. Outcome-based evaluation is not pure research, nor is it simple data collection. It joins both of those essential processes, however, as a powerful tool in reporting the kinds of differences museums and libraries make among their users. It helps both institutions identify their successes and share their stories with a wide range of stakeholders.

Outcome-based evaluation is also a highly useful management tool. It does not occur within a vacuum, but is part of the core process of project development. Program planning, implementation, and evaluation are all parts of the whole that is driven by an institution's purpose and vision. Evaluation provides the critical feedback that tells what is working, what must be changed, and how a program may be improved. It helps inform difficult

decisions. Realigning staff or reallocating financial resources are far more palatable when supported by evidence that these investments are making a difference. Well-designed evaluation further enables advocacy and partnership. Good stories become convincing and forge the basis for ongoing funding, support, and collaboration.

As both authors concur, good evaluation methodology is a challenge. Ambivalence toward evaluation is widely recognized and shared by many professional leaders. It requires commitment, regular practice, and an investment in training and resources. In addition, both museums and libraries raise questions about

how they can measure what may be a long-term benefit or best told through an individual narrative. They suggest that objective, quantifiable measures are often counter to their work.

Despite these concerns, however, if museums and libraries do not take the responsibility for developing their own set of credible indicators, they risk having someone else do it for them. The loss would be very great if funders or others outside the museum and library fields imposed an arbitrary set of standards to be measured. Museums and libraries would lose an important opportunity to learn through their work and to guide their own future.

IMLS is especially pleased to offer this publication as part of our support and encouragement for the adoption of outcome-based evaluation in the library and museum fields. Through our grants and awards, IMLS has supported the idea that museums and libraries have a profound capacity to make a difference in their communities. Now, in our support of outcome-based evaluation as a valuable methodology, we are committed to documenting their impact and telling their stories more widely.

We thank both Stephen Weil and Peggy Rudd for their wisdom and their generosity in sharing their essays for this purpose.

Transformed from a Cemetery
of Bric-a-brac...

S t e p h e n   E .   W e i l

Emeritus Senior Scholar
Center for Education
and Museum Studies
Smithsonian Institution

Among the perennially favorite stories in my country is Washington Irving's tale of Rip Van Winkle, the amiable New York farmer who fell into a profound sleep as a loyal subject of King George III and—waking up some 20 years later—was astonished to find that he had meanwhile become a citizen of an entirely new country called the United States of America. What had happened while he slept, of course, was a revolution. If we could shift that frame just slightly and conjure up instead an old-fashioned curator in a New York museum—a sort of tweedy Rip Van Recluse—who dozed off at his desk some 50 years ago and woke up only today, would his astonishment at the museum in which he found himself be any the less? I think not.

During the past 50 years there have been not just one but two distinct revolutions in the American museum. The first—a revolution specific to the museum—was in its focus.

This paper was first delivered as a keynote address for the 1999 British Museum Annual Meeting.

2distinct
reVOLUTIONS

When Rip Van Recluse began his long sleep, the American museum, just as it had been since early in the century, was still oriented primarily inward on the growth, care, study, and display of its collection. By the time he awoke, though, that focus had been completely reversed. The museum in which he found himself was now an outwardly oriented organization engaged primarily in providing a range of educational and other services to its visitors and, beyond its visitors, to its community. The collection, once its *raison d'etre*, was now, instead, simply one of a number of resources available to be used for the accomplishment of a larger public purpose.

This change of focus, as Rip would quickly discover, was in no way peculiar to the American museum. Common virtually everywhere today is the conviction that public service is central to what a museum is all about. How that is expressed may differ from one country to another, but almost nowhere is there anybody now left who still believes—as did many of Rip's colleagues before his long sleep— that the museum is its own excuse for being. As Kenneth Hudson recently pointed out in the 50th anniversary issue of the UNESCO magazine *Museum Interna-tional*: "...[T]he most fund- amental change that has affected museums during the [past] half-century...is the now almost universal conviction that they exist in order to serve the public. The old-style museum felt itself under no such obligation. It existed, it had a building, it had collections and a staff to look after them, it was reasonably adequately financed, and its visitors, not usually nuerous, came to look, to wonder, and to admire what was set before them. They were in no sense partners in the enterprise. The museum's prime responsibility was to its collections, not to its visitors."

The second revolution—a revolution that is still in progress— is considerably more complicated. By no means specific to museums, it is a revolution rag-ing across the entire not-for-profit or so-called third sector of American society—that sprawling conglom- eration of more than one million privately-governed cultural, educational, religious, health care and social service organizations to which most American museums belong. Whereas the first revolution involved a change in institutional focus, this second revolution has to do with public expectations.

At its core is a growing expectation that, in the discharge of its public service obligations, every not-for-profit organization will carry out its particular work not only with integrity but with a high degree of competence as well and, moreover, that it will employ that competence to achieve an outcome that— regardless of what kind of a not-for-profit organization it may be—will demonstrably enhance the quality of individual lives and/or the well-being of some particular community. Under the pressure of this second revolution, what had once in the United States been a landscape dotted with volunteer-dominated and often amateurishly managed charities—the realm of stereotypical bumbling vicars,

fluttering chairladies, and absent-minded professors—is today being transformed into a dynamic system of social enterprises, a system in which the ultimate institutional success or failure of each constituent enterprise is to be judged by its capacity to articulate the particular results it is seeking to achieve and by its ability, in day-to-day practice, actually to achieve the results it has so articulated.

To translate that second revolution into museum terms: the institution in which Rip Van Recluse fell asleep was generally regarded as an essentially benevolent or philanthropic one. It was imbued with a generous spirit, its supporters were honorable, and worthy people, and it was, above all, respectable. During the years that Rip slept, other ways of looking at the American museum began to surface. For some observers, resources replaced respectability as the measure of a museum—a good museum, in their view, was one with a fine collection, an excellent staff, an impressive

building, and a solid endowment. For others a museum was better measured not by what resources it had but by what it did with those resources—by its programming. For still others it was processes and procedures that mattered—what made a museum admirable was its mastery of museological techniques, that it knew how to do things "by the book." With the coming of this second revolution, however, all of those other measures are today being subsumed into two overarching concerns. These are, first, that the museum has the competence to achieve the outcomes to which it aspires—outcomes that will positively affect the quality of individual and communal lives—and, second, that the museum employs its competence in such a way as to assure that such outcomes, in fact, are demonstrably being achieved on some consistent basis.

Among the forces driving this second revolution have been the emergence, primarily in the graduate schools of business, of a new organizational concept—

Among the forces driving this second revolution have been the emergence, primarily in the graduate schools of business, of a new organizational concept–the "social enterprise"–as well as the recent implementation, at an everyday working level, of several new modes of organizational assessment.

the "social enterprise"—as well as the recent implementation, at an everyday working level, of several new modes of organizational assessment. Among the most forceful proponents of the social enterprise concept is Professor J. Gregory Dees, formerly of the Harvard Business School and now at Stanford. As envisioned by Dees, a not-for-profit organization (which he calls a "social enterprise") and a for-profit business (which he refers to as a "commercial enter-

prise") can best be understood as being basically similar organizations that principally differ only (1) in the nature of the bottom lines that they pursue, (2) in how they price the products and/or services that they distribute and, (3) in how they acquire replacement resources to make up for those depleted through distribution.

In terms of the bottom line, the commercial enterprise's ultimate operational objective is a positive economic outcome, *i.e.*,

a profit. By contrast, the ultimate operational objective for the social enterprise—its bottom line—is a positive social outcome. That difference notwithstanding, Dees argues that these two forms of enterprise's are still more similar than different—each employing managerial skills to produce a bottom line result by adding value to the resources which they acquire and process. To think of a museum as "entrepreneurial" in that sense is by no means unprecedented. To

possess that particular ability—"...knowing how to invest time and money in anticipation of a return greater than the investment"—is exactly, for example, how Leon Paroissien defined entrepreneurship when he was director of the Museum of Contemporary Art in Sydney.

The second major difference between these forms of enterprise involves pricing. The commercial enterprise traditionally distributes its products and/or services at a market-determined price. By contrast, the social enterprise most frequently distributes its products and/or services either without charge or at less than their true cost. Dees again argues that this does not change their basic similarity.

It simply has implications for the third difference between them—how the social enterprise must acquire replacement resources. Unlike the commercial enterprise which has the capacity to buy what it needs in order to be productive, the social enterprise may be dependent in whole or in part upon contributed

goods, funds or services. In most operational respects, however, the social enterprise is still conceptually parallel with the commercial one. "Managing for results"—to use a Canadian phrase—is no less essential to one form of enterprise than to the other.

Two instances are noteworthy here: the adoption of new evaluation practices in 1995 by the United Way of America and the passage by the United States Congress of the Government Performance and Results Act in 1993.

As this theoretical model was being polished in the business schools, a complementary group of ideas was finding practical expression in the workplace. Two instances are noteworthy here: the adoption of new eval-

uation practices in 1995 by the United Way of America and the passage by the United States Congress of the Government Performance and Results Act in 1993.

For those not familiar with the United Way, a brief description may be in order. Originally organized as the Community Chest movement, the United Way is perhaps the largest and certainly one of the most influential not-for-profit undertakings in the United States. A federation of some 1,400 community-based fund-raising organizations that derive roughly 70% of their contributed income from direct payroll deductions, it collected some $3.5 billion dollars in its most

recent reporting year. That money, in turn, is then distributed to literally tens of thousands of local organizations throughout each community. Although each United Way chapter has full autonomy to determine how its share of this immense pool of money will be distributed, uniform standards are set by a National Office in Alexandria, Virginia. In 1995, that National Office officially announced a radical change in those standards.

Previously, United Way had based its funding decisions on an evaluation of its applicants' programs. If an organization applied to a United Way chapter for funding an adult literacy program, for example, the criteria for making or denying that grant would have been based on such program-related questions as whether the curriculum was soundly conceived, whether the instructors were well qualified, and whether the proposed classroom materials were appropriate for the expected participants. No longer, said

United Way in 1995. Henceforth the focus would be on the recipients of services, not their providers. Henceforth the test would be outcomes, results, program performance. By what percentage had the reading scores of those participants improved? How did that improvement compare with the improvement recorded in earlier years? How did it compare with the record of other literacy programs in similar circumstances? Put bluntly: neither was the program well-designed nor highly regarded but...DID IT REALLY WORK?

Central to this new United Way approach were such concepts as "change" and "difference." A 1996 publication suggested how flexibly those concepts could be applied without violating the boundaries of what might still might be strictly defined as outcomes. "Outcomes," it said: "...are benefits or changes for individuals or populations during or after participating in program activities. They are influenced by a program's outputs. Outcomes

may relate to knowledge, attitudes, values, skills, behavior, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following the program."

Although United Way's funding is primarily directed toward social service agencies, its full-scale embrace of outcome-based evaluation has nevertheless had a pervasive influence throughout the entire American funding community: among foundations, corporate donors, and government agencies. To a greater degree than ever, funders are asking applicants of every kind—cultural organizations as well as social service agencies and health services—detailed questions about just what outcomes they hope or realistically expect to achieve through a proposed program and about just how they intend to determine whether or not those particular outcomes have, in fact, been achieved.

Meanwhile, that identical

Under the Government Performance and Results Act or GPRA...each such agency will be responsible, first, for establishing—preferably in objective, quantifiable and measurable terms—specific performance goals for every one of its programs and,

second, for thereafter reporting annually to the Congress on its success or lack of success in meeting those goals.

question—just precisely what is it that you hope or expect to accomplish with the funds for which you are asking—will be formally posed on an annual basis to every agency of the United States federal government beginning in the year 2000. Under the Government Performance and Results Act or GPRA —legislation that was scarcely noticed when it was passed on a bipartisan basis in 1993 but which is now beginning to loom very large as its effective date in 2000 approaches—each such agency will be responsible, first, for establishing—preferably in

objective, quantifiable and measurable terms—specific performance goals for every one of its programs and, second, for thereafter reporting annually to the Congress on its success or lack of success in meeting those goals.

In essence, GPRA will raise the level of public accountability to a new height. Prior to GPRA, United States government agencies were already responsible under earlier legislation for controlling fraud and abuse. Professor Peter Swords of the Columbia University Law School has referred to this lower level of scrutiny as "negative

accountability"—making sure that nobody was doing anything wrong. With GPRA, however, government will be ratcheting itself up a notch to what Swords has, by contrast, called "positive accountability"—making sure that government programs actually work to achieve their intended outcomes, making sure that federal money is not only being spent honestly but also that it is being spent effectively.

Although this enhanced standard of accountability will only affect a handful of museums directly, it is virtually certain to serve as a model for various state,

county and municipal governments and for some private funding sources as well. In confluence with the other forces driving this second revolution, the implementation of such standards is radically changing the climate in which American not-for-profit organizations—museums included—operate. This new climate is a distinctly more hard-nosed one, far reduced in the traditional trust and leniency that not-for-profit organizations enjoyed when yesterday's public still looked upon them as gen-

"If our museums are not being operated with the ultimate goal of improving the quality of people's lives, on what [other] basis might we possibly ask for public support?"

teel charities, and correspondingly higher in the degree of accountability on which today's public now insists.

Nothing on the horizon suggests that this climate is likely to change or that what we are witnessing is merely some cyclical phenomenon, something to be survived until museums can once again hunker down around their collections. In earlier and more trusting days, the museum survived on a kind of faith: faith that it was *per se* an important kind of institution, faith that its mere presence in a community would somehow enhance the well-being of that community. The second revolution has undermined that faith by posing questions about competence and purpose that, like genies released from a bottle, cannot readily be corked up again. To repeat an observation I made at another conference just two years ago:

"If our museums are not being operated with the ultimate goal of improving the quality of people's lives, on what [other] basis might we possibly ask for

public support? Not, certainly, on the grounds that we need museums in order that museum professionals might have an opportunity to develop their skills and advance their careers, or so that those of us who enjoy museum work will have a place in which to do it. Not, certainly, on the grounds that they provide elegant venues for openings, receptions and other glamorous social events. Nor is it likely that we could successfully argue that museums...deserve to be supported simply as an established tradition, as a kind of ongoing habit, long after any good reasons to do so have ceased to be relevent or have long been forgotten."

As museums in the United States seek to cope with this second revolution, a number of misconceptions have emerged. For one, many American museum workers seem to believe that what is primarily being asked of them is that they become more efficient, that they adopt some set of "lean and mean" practices from the busi-

ness sector that would enable them and their museums to achieve a more positive and self-supporting economic bottom line. Although nobody, certainly, is condoning inefficiency in museums, the goal that the proponents of social enterprise theory, the United Way and GPRA, are each in their own way pursuing is not merely efficiency but something far more difficult to attain and considerably more important as well: effectiveness.

In this context, the distinction between efficiency and effectiveness is critical. Efficiency is a measure of cost. Effectiveness is a measure of outcome. Efficiency describes the relationship between a program's outcome and the resources expended to achieve that outcome.

Efficiency is clearly important—the more efficient an organization, the more outcome it can generate from the same expenditure of resources—but it is always subsidiary to effectiveness. What effectiveness describes is the relationship between a program's out-

come and the expectation with which that program was undertaken in the first place. Effectiveness is the measure of DID IT REALLY WORK? In the for-profit commercial enterprise, there is a substantial overlap between efficiency and effectiveness. Waste can undermine profit, the basic point of the enterprise. Not so in the social enterprise, where efficiency and effectiveness remain distinct. A museum might conceivably be effective without necessarily being efficient.

A related misconception is that the pursuit of effectiveness is somehow analogous to benchmarking. Benchmarking—as that term is generally used in the United States—is about something else: an effort to improve how you perform a particular task by seeking out the most exemplary practice in some other organization with the intention, so far as may be practical, of then adopting that practice for yourself. Specific procedures within a museum—making timely payment to vendors, performing a

Efficiency is a measure of cost. Effectiveness is a measure of outcome. Efficiency describes the relationship between a program's outcome and the resources expended to achieve that outcome. Efficiency is clearly important—the more efficient an organization, the more outcome it can generate from the same expenditure of resources—but it is always subsidiary to effectiveness. What

effectiveness describes is the relationship between a program's outcome and the expectation with which that program was undertaken in the first place. Effectiveness is the measure of DID IT REALLY WORK?

conservation survey, processing outgoing loans—can certainly be approached in this way, but scarcely ever could the overall operation of the museum itself be benchmarked. Museums are so extraordinarily varied in their origin, discipline, scale, governance, collections, sources of funding, endowment, staffing, facilities, and community setting that one can hardly serve as a model or even the basis of any meaningful comparison for another. That is particularly the case with respect to effectiveness. A museum's effectiveness can only be determined in relationship to what it is trying to accomplish—not in terms of what some other museum is trying to accomplish.

Finally, there are those who think that what is being asked of American museums by these combined revolutions is something wholly novel or unprecedented. From almost its very beginning, however, the mainstream museum movement in the United States has had running beside it a slender but vigorous alternative movement—a kind of

counter-current—that envisioned the museum not in terms of such inward activities as the accumulation and care and study of its collections but, rather, in terms of what impact it might have on its community. In fact, America's two great flagship art museums—the Museum of Fine Arts in Boston and the Metropolitan Museum of Art in New York, both founded in 1870—were originally modeled on the South Kensington Museum and intended from their inception to be primarily educational in nature. It was only between the years 1905 and 1910, that they refocused their primary attention on collecting original, often unique, works of fine art. For more than a century, many of the most eloquent voices within the American museum community have argued strenuously for the out-wardly directed and publicly accountable museum. Here, for example, is how George Brown Goode—an early Assistant Secretary of the Smithsonian—made the case during a lecture at the Brooklyn Institute in 1889:

11

"The museum of the past must be set aside, reconstructed, transformed from a cemetery of bric-a-brac into a nursery of living thoughts. The museum of the future must stand side by side with the library and the laboratory, as part of the teaching equipment of the college and university, and in the great cities cooperate with the public library as one of the principal agencies for the enlightenment of the people."

Nobody has made these arguments more pungently, however, than John Cotton Dana, the early champion of community museums and the founder, in the early 1900s, of one of America's most notable examples: the Newark Museum. In a 1917 essay, written as the Metropolitan Museum of Art and other East Coast museums were accelerating their quest for the previously unobtainable works of fine art flowing out of Europe, Dana was scornful of what he called "marble palaces filled with those so-called emblems of culture, rare and costly

and wonder-working objects." Such museums, the kinds of museums, he said, "which kings, princes, and other masters of people and wealth had constructed" would give the common people neither pleasure nor profit. Nor could such museums accomplish what Dana took to be the first and obvious task of every museum: "adding to the happiness, wisdom, and comfort of members of the community."

Most remarkably of all, Dana understood as early as 1920 that the public's support of a museum was at bottom an exchange transaction—that it, the public, was due a measure of value in return. Moreover, he foresaw that some type of positive accountability would be required in order to assure the public that the museum was actually providing such value.

"All public institutions (and museums are not exceptions to this rule) should give returns for their cost; and those returns should be in good degree positive, definite, visible, measur-

able. The goodness of a museum is not in direct ratio to the cost of its building and the upkeep thereof, or to the rarity, auction value, or money cost of its collections. A museum is good only insofar as it is of use....Common sense demands that a publicly supported institution do something for its supporters and that some part at least of what it does be capable of clear description and downright valuation."

In a sense, this once alternative movement, this counter-current, is now in the course of itself becoming the mainstream. Astonishing as the concept of the

museum as a positively accountable public service organization may be to the newly awoken Rip Van Recluse, that concept does, in fact, have deep roots in the American museum tradition.

Moving on, then, I want to turn to what seem to me some of the major consequences that these two revolutions may potentially have for American museums. Five seem particularly noteworthy. The first pertains to disciplinarity. According to the last survey data—unfortunately, not very recent—only 15% or so of American museums are truly interdisciplinary. That 15% includes children's museums—

today the fastest growing segment of the American museum community—and general museums. The remaining 85% are closely tied to one or another academic specialty. When collections were central to a mus-eum's concerns, that kind of specialization—albeit something of a straightjacket—might have made a certain amount of sense. It makes much less sense today, though, as the museum's focus shifts toward public service. And it makes no sense whatsoever in those many small American communities that may have only a single museum, or even two.

In this new environment,

For more than a century, many of the most eloquent voices within the American museum community have argued strenuously for the outwardly directed and publicly accountable museum.

As the museum redefines its central purpose from inward to outward—from amassing a collection to providing a public service—it finds itself being drawn into collaboration with, or at times even exchanging functions with, a broad range of other community-based service organizations whose purposes are similar.

museums should better be able to liberate themselves from these disciplinary constraints and to broaden the range of their programming even to the extent of blurring if not actually breaking down the traditional boundaries between disciplines. In that regard, a revival of John Cotton Dana's case for the community museum could not be more timely. For Dana, the proper way to shape a museum's program was not by recourse to some academic discipline—art, history, or natural science—but through an ongoing conversation with the community. "Learn what aid the community needs," he said, and "fit the museum to those needs."

A second—and related—consequence pertains to a blurring of boundaries around the museum field itself. When the museum's principal activities were the highly specialized ones of accumulating, preserving, and displaying a collection—activities virtually unique to the museum—it tended to do its work more or less in isolation and alone. Not so today. As the museum redefines its central purpose from inward to outward—from amassing a collection to providing a public service—it finds itself being drawn into collaboration with, or at times even exchanging functions with, a broad range of other community-based service organizations whose purposes are similar. To some extent, the museum's submergence in these new relationships and/or its assumption of new and nontraditional roles can blur its once clear identity. Whatever loss that might entail, however, may be more than compensated for by the increase in effectiveness it can thereby achieve. Here, I think, our American experience in working collaboratively is very much in accord with the British experience as described in *A Common Wealth*, David Anderson's 1997 report to the Department of National Heritage:

"Partnerships allow museums to extend the boundaries of what is possible: to share risks, acquire resources, reach new audiences, obtain complementary skills, improve the quality of service, achieve projects that would have otherwise been impossible, acquire validation from an external source, and win community and political support."

A third consequence—one that our time-traveller Rip Van Recluse may not find so congenial—is internal. It pertains to how museums are staffed and how their operating budgets allocated. When collections were at the core of the museum's concern, the role played by those in charge of the collection—keepers in your country, curators in mine—was dominant. In American museums, curators were literally the resident princes. With the evolution of the outwardly-focused, public-service museum, curators have been forced to share some part of their authority with a range of other specialists: first with museum educators, and more recently with exhibition planners, with public programmers, and even with marketing and media specialists. As with their authority, so with their budgets. As the museum's focus is redirected outward, an increasing share of its operating costs, particularly salaries, must concurrently be diverted away from the acquisition, study and care of collections and toward other functions. In many American museums this has sometimes been a bumpy transition—power is not always relinquished graciously, even by otherwise gracious museum people—and one with still some distance to go.

The fourth of these consequences also has budgetary consequences. It is the urgent need for museums to develop and implement new assessment techniques by which to evaluate the overall impact of their programs on both individuals and communities. Not only will this be expensive, but museums also begin with a tremendous handicap. Because outcome-based evaluation has its roots in the social service area where results can usually be quantified, this kind of evaluation presents particular problems not only to museums

but also to certain other public service organizations—religious bodies, liberal arts colleges, environmental lobbyists—whose program outcomes may not be readily susceptible to statistical or other measurement.

In contrast, for example, to a drug rehabilitation program or a prenatal nutrition program—both of which might produce clearly measurable outcomes within less than a year—the impact of a museum tends to be subtle, indirect, frequently cumulative over time, and often intertwined with the impacts of such other sources of formal and informal educational experiences as schools, churches and various social and affinity groups. Museums will not only have to educate themselves as to how their impact can be captured and described. They will also have to educate those to whom they may be accountable as to what may and may not be possible in rendering their accounts. Daunting as those tasks may be, they will be essential. It is precisely because the value of what a

museum can add to a community's well-being may not be as self-evident as is that provided by the drug or prenatal program that developing a credible means to report that value is so important.

The fifth and final of these consequences is—to my mind—the most critical. It concerns the need to define institutional purposes more clearly and, having once defined them, to make those purposes the consistent backbone of every activity that the museum undertakes. The logic here is basic. Under the impact of these two revolutions, institutional effectiveness will be the key to continued public support. In the absence of some clear sense of what a museum intends to achieve, however, it is simply impossible to assess its effectiveness—impossible to evaluate how its actual achievements compare with its int-ended ones. That a clear sense of purpose was basic to a museum's organizational well-being was something already understood—if only instinctively—by the early proponents

Museums will not only have to educate themselves as to how their impact can be captured and described. They will also have to educate those to whom they may be accountable as to what may and may not be possible in their accounts.

of the outwardly-directed museum. In a paper presented to the British museums association when it met in Newcastle back in 1895, the Smithsonian's George Brown Goode made that very point. "Lack of purpose in museum work," he said, "leads in a most conspicuous way to a waste of effort and to partial or complete failure."

One source of difficulty for American museums has been a tendency to confuse museum

purposes with museum functions. In the book on mission statements that Gail Anderson edited for the American Association of Museums this past year, she points out that there is no way in which a museum that describes its intentions solely in terms of the activities it plans to undertake—that it will collect, preserve, and interpret X or Y or Z—can be qualitatively evaluated. In the absence of any sense of just what it hopes to accom-

plish and whom it hopes to benefit through those activities, such a museum simply appears to be spinning in space with no goal, perhaps, but its own survival. This is where Rip Van Recluse might find himself most particularly puzzled. When he fell asleep in his museum all those years ago, its purpose wasn't a question. In the mainstream formulation, a museum didn't need a reason to be. It just was. No more. This second revolution is establishing purpose as every institution's starting point—the first premise from which every institutional argument must hereafter proceed.

When we finally do turn, then, to see what the possible purposes of museum might be, what we find shining through is the incomparable richness of this field in which we work. In the range of purposes that they can pursue—in the range of the community needs which they can meet: educational needs and spiritual ones, social and physical needs, psychological and economic ones—museums are

among the most remarkably flexible organizational types that a modern society has available for its use. Museums can provide forms of public service that are all but infinite in their variety. Museums can inspire individual achievement in the arts and in science, they can serve to streng-then family and other personal ties, they can help communities to achieve and maintain social stability, they can act as advocates or play the role of mediator, they can inspire respect for the natural environment, they can generate self-respect and mutual respect, they can provide safe environments for self-exploration, they can be sites for informal learning, and ever so much more. In every realm, museums can truly serve as places to remember, as places to discover, as places to imagine.

Back in 1978, the American Association of Museums elected Dr. Kenneth Starr, then the head of the Milwaukee Public Museum, as its President. Earlier in his career, Starr had been a scholar of Chinese art and, almost invari-

ably in the course of a public address, he would remind his listeners that the Chinese ideogram for crisis was a combination of the symbols for danger and opportunity. If these revolutions at which we have been looking—from an inwardly focused museum to an externally focused one, from a museum whose worth might be accepted on faith to one required to demonstrate its competence and render a positive account of its achievements—if these revolutions can in any sense be thought to have triggered a crisis, then we might well conclude by asking the two relevent questions in every crisis: Where is the danger? Where is the opportunity?

For the American museum, I think, the danger is that it may slide back into its old Rip Van Recluse collection-centered ways and thereby render itself irrelevant. In our American system of third-sector privately-governed not-for-profit organizations, there are no safety nets for worn-out institutions. Museums can fail, and they will fail if and when

The fifth and final of these consequence is the most critical. It concerns the need to define institutional purposes more clearly

and, having once defined them, making those purposes the consistent backbone of every activity that the museum undertakes.

nobody wants to support them any longer. And the opportunity? The opportunity, I think, is for the museum to seize this moment—to use it, first, as the occasion to think through and clarify its institutional purposes and then, second, to go on from there to develop the solid managerial techniques and strategies that will assure its ability to accomplish those purposes in a demonstrable and consistent way.

Before he fell asleep, Rip Van Recluse may well have felt some

pride about the good place in which he worked, the important people who supported it, perhaps even about its fine collection and imposing building. Today, though, two revolutions later, the pride that we, as museum workers, can take is of a different and, I think, a higher order. It is the pride of being associated with an enterprise that has so profound a capacity to make a positive difference in the quality of individual lives, an enter-

prise that can—in so many significant ways and in so many remarkably different ways—enrich the common well-being of our communities. Those are the possibilities that these two revolutions have released to us. It's up to us now to make the most of them.

Documenting the Difference:

Demonstrating the Value of Libraries Through Outcome Measurement

By Peggy D. Rudd

Director and Librarian, Texas State
Library and Archives Commission

For those of us who work in libraries, who educate those who work in them and who use and support them in a variety of ways, the value of libraries goes without saying. We believe they are a public good. We believe that libraries positively influence student achievement, contribute to the corporate bottom line, fuel research, support community development, improve the quality of life, further education from cradle to grave and contribute to personal betterment. We've long held that one of the best investments of public funds is in libraries and that the key to personal improvement and success is a library card. But no matter how fervent our beliefs about the value of libraries, our belief system offers the weakest of responses when presented with the classic evaluation question: What difference does it make?

What difference does it MAKE?

For many years, academic, school, and public libraries have contributed to data-gathering efforts administered by the National Center for Education Statistics. Libraries collect and report a variety of data to meet specific needs: to respond to surveys, to prepare annual reports, to measure progress toward objectives, to assess the extent to which the library meets standards, to support long-range planning and budgeting, etc. Librarians have also become increasingly adept at measuring programs and services through inputs (resources) and outputs (products). Basic "counting up" processes (*e.g.*, circulation, library visits, program attendance) have been fine-tuned by drawing relationships between outputs and other variables (*e.g.*, circulation *per capita*, collection turnover rate, registration as a percent of population). But these current kinds and levels of measurement are insufficient to enable librarians to answer this larger question: What is the impact on program partic-

ipants and service recipients?

Further, as library programs and services continue to evolve, the staples of our measurement system reveal their inadequacies. In a world in which virtual library visits are as important as door counts, electronic documents retrieved are as numerous as circulation and on-line

We believe that libraries have a profound impact on individuals, institutions, and communities. How can we engineer a measurement system that will verify our intuition?

information literacy tutorials are replacing face-to-face bibliographic instruction, measurement must reflect the new order. Even as the "counting up" processes evolve to match the new shape of library programs and services, the question of results remains.

How can we move beyond the current system of measurement to get at the very heart of the purpose and value of libraries captured in American Library Association slogan, "Libraries Change Lives"? We believe that libraries have a profound impact on individuals, institutions and communities. How can we engineer a measurement system that will verify our intuition? In my view, we must measure outcomes.

The interest in verifying impact and achieving results does not stem merely from an attempt to better understand the effect of library programs and services on users. Nationwide, program performance and results-based planning, budgeting and public reporting are becoming the norm. A growing number of states, counties and cities are adopting new planning and budgeting processes that focus on accountability and closely link the allocation of resources with direct impact on people served. This change in government focus is being fueled by public sentiment: voters want their elected

officials to find some other way to solve problems than simply asking them to pay higher taxes. Taxpayers are becoming increasingly reluctant to accept the status quo.

With the passage of the Government Performance and Results Act (GPRA) in 1993, the huge federal bureaucracy began to move toward an outcome-oriented structure for service delivery and assessment. Among the purposes of GPRA are these: (1) to "improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results" and (2) to "improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction."

In growing numbers, service providers, governments, other funders and the public are calling for clearer evidence that the resources they expend actually produce benefits for people.

With expectations for accountability rising and resources being squeezed between demands for reduced taxes and needs for increased services, librarians must be able to demonstrate the difference programs make by measuring the impact they have on the people they serve.

The United Way of America has lead the movement toward outcome measurement through a project aimed at gradually bringing all human service agencies and organizations which receive United Way funding into compliance with outcome measurement. It should be noted that the United Way outcome model was crafted with input from a task force that represented local United Ways, national human service organizations, foundations, corporations, and academic and research institutions. In addition, program directors from twenty-three national health, human service, and child and family service organizations provided input. The model was tested by local human service organiza-

The interest in verifying impact and achieving results does not stem merely from an attempt to better understand the effect of library programs and services on users. Nationwide, program performance and results-based planning, budgeting, and public reporting are becoming the norm.

tions and their experience thoroughly reviewed with an eye to improving the process.

The prime motivation for this coordinated effort is best expressed in the article by J. Gregory Dees cited by Stephen Weil. In "Enterprising Non-profits" Dees speaks to the very core of accountability and outcome measurement: "In an ideal world, social enterprises would receive funding and attract resources only when they produced their intended social

impact—such as alleviating poverty in a given area, reducing drug abuse, delivering high-quality education, or conserving natural resources."

Although Dees is referring specifically to nonprofit social enterprises, his link between resources and the success of mission-related activities is especially important. In the library world, links have traditionally been made between resources and outputs. As long as populations to be served were growing, circula-

tion was increasing, and reference questions continued rising, requesting increased resources to handle the challenge of increasing outputs made sense. Further, libraries have long occupied a place of respect within those democratic traditions that are uniquely American. So, requiring proof of results is seen by some as a frontal assault on a good and worthy institution that should not have to justify itself. "Doing good deeds" is justification enough. While there was

a time when that argument might have been sufficient, today that is no longer the case.

In order to judge the usefulness of the outcomes model in a library setting, it is first important to understand the model itself. It is also important to understand precisely what is meant by the term "outcome," which has a very particular meaning here. At the heart of the process is the construction of a logic model, a diagram of how a program

works theoretically. The logic model is a self-contained description of the components of the program. Numerous variations of the model have evolved, but for United Way, these include:

Inputs—Resources dedicated to or consumed by a program (*e.g.*, money, staff, volunteers, facilities, library materials, equipment).

Activities—What the program does with the inputs to fulfill its mission (*e.g.*, conduct story times, after-school homework clinics, summer reading programs, parent education classes, information literacy classes).

Outputs—Direct products of program activities, usually measured in terms of work accomplished (*e.g.*, number of story time attendees, number of students attending after-school homework clinics, number of parent education classes taught, number of children participating in summer reading program, number attending information literacy classes).

Outcomes—Benefits or changes for individuals or populations during or after participating in program activities, including new knowledge, increased skills, changed attitudes or values, modified behavior, improved condition, or altered status (*e.g.*, number of children who learned a finger play during story time, number of parents who indicated that they gained new knowledge or skills as a result of parent education classes, number of students whose grades improved after homework clinics, number of children who maintained reading skills over the summer as a result of a summer reading program, number of people who report being better able to access and use networked information after attending information literacy classes).

While outcome measurement may at first seem very different from the traditional program or service model, in fact it incorporates all of the elements of traditional library measurement (inputs, activities, outputs) while adding only the

element of outcomes. Clearly, outcomes can be a powerful tool for planning and improving programs and services. Demonstrating the effectiveness of programs and services can benefit a library in the following ways:

◗ Outcomes can be a powerful tool for communucating program and service benefits to the community.
◗ Outcomes can be a powerful tool for demonstrating accountability and justifying funding needs to funders and resource allocators.
◗ Outcomes can be a tool for building partnerships and promoting community collabortions.
◗ Outcomes can help determine which programs and sevices should be expanded or replicated.
◗ Outcomes can be a tool for singling out exemplary programs and services for recognition.

Even though the United Way model was designed specifically for health and human services

While outcome measurement may at first seem very different from the traditional program or service model, in fact it incorporates all of the elements of traditional library measurement (inputs, activities, outputs) while adding only the element of outcomes.

organizations and agencies, it is highly transferable to the library environment. The same elements apply: the need is identified, program options for meeting the needs are evaluated, and resources are brought together to implement the option selected. Despite differences in activities for the library and the human service agency, both intend that participants be better off somehow after participating in the program. Although it is necessary to tailor training materials to library activities and provide relevant examples, the fundamentals of the model are entirely

applicable to library programs and services.

While libraries can gain many benefits from outcome measurement, some potential problems must be recognized. Evaluation is not a trivial undertaking, and outcome measurement is certainly no exception. It requires staff skill and attention that may be a challenge for smaller libraries. However, the logic model itself can offer some much-needed support. By bringing together on a single page all aspects of a program or service, it becomes a microcosm into which all program elements have

been reduced to their essence. The simplicity of the logic model is perhaps its best feature, especially for smaller libraries.

Some librarians fear that their traditional relationship with users may prohibit the kind of user-based reporting and verification that is needed to demonstrate outcomes. One of the great features of libraries is that they serve people indiscriminately. Librarians are very keen on honoring the privacy of users and asking only for information that helps them accurately negotiate a request for assistance. But in order to find out if changes

have occurred as a result of participating in a library program or service, it may be necessary to ask for information that is not generally considered relevant to a user's interaction with the library.

Of course, some outcomes can simply be observed. In an earlier example, one possible outcome was that the child learned a new finger play from library story time. This short-term outcome, a new skill, can be observed fairly easily. However, if one wants to know if an literacy program participant has gained employment as a result of the program, or if

participation in an after-school homework clinic has helped a middle school student improve grades, more in-depth information will be required. This is not part of the traditional relationship between libraries and their users, which maintains a respectful distance from the purposes of a user's request for information or services.

There is nothing inherent in outcome measurement that would require librarians to violate the code of ethics that governs their relationship with users. Some librarians, however, may see requesting impact information from users as a breech of this code. The focus of the library is on the interaction itself, requiring the library staff member to elicit only as much information as will link the user with the requested information. However, if determining the results of a program will help ensure funding which will then reap benefits for additional users, involving users in voluntary program outcome assessment is a most valuable undertaking and should not be

However, if determining the results of a program will help ensure funding which will then reap benefits for additional users, involving users in voluntary program outcome assessment is a most valuable undertaking and should not be seen as a violation of their right to privacy.

seen as a violation of their right to privacy.

It is important to realize that one does not have to measure everything all of the time. Outcomes measurement can be applied to selected programs and services. It is recommended that a library start small and apply the model to a contained program that the library staff has great familiarity with, to minimize the slope of the learning curve. It may also be easier to start out applying outcome measurement to only one part of a program. For example, if the library is implementing a family literacy program, it may be more useful to apply the model to the adult literacy portion of the program or to the parent education part of the program. In the United Way vocabulary, these program parts that may be measured independently are called "outcome tracks."

It is also perfectly acceptable to apply outcome measurement to a program one time and to continue to use the results as a basis on which to build long-range plans, budgets, etc. For example, if outcome measurement has demonstrated that 80% of school-age children who participated in the summer reading program maintained their reading skills over the summer, it is not necessary to re-test that finding each summer. Periodic reevaluation is a good idea in order to verify that a long-term program is continuing to have the desired results or outcomes, however, outcome measurement does not have to be done continually.

It is also possible that outcome measurement conducted on a statewide level can provide substantiation for programs implemented in local libraries. If it can be demonstrated at the state level that an early intervention program such as "Born to Read" has significant impact on the lives of parents and their young children, then those results can be used locally to support requests for local government funding or private funding. The transferability of state outcomes to local programs would validate

What the library can and should claim is that it helps people change in some way. We know this result happens (libraries do change lives!); outcome measurement can help us prove it.

the potential of those local efforts.

It is important to remember that outcome-based measurement does not imply that the library is claiming sole responsibility for the change in the lives of program participants or service recipients. We all know that influences on human behavior are far more complex and that changes occur frequently as a result of a great number of factors acting upon an individual. What the library can and should claim is that it has made a significant contribution to helping

people change in some way. We know this result happens (libraries do change lives!); outcome measurement can help us prove it.

The United Way logic model features three categories of outcomes: initial, intermediate, and longer-term. Initial outcomes are those benefits or changes that occur during program participation. Intermediate outcomes are those that occur a few months into the program up until a few months after the participant is no longer involved in the program. Longer-term outcomes are

those that occur some time after participation in the program. While longer-term outcomes may require the kind of longitudinal study that few libraries are equipped to handle, most libraries should be able to track initial and intermediate outcomes fairly easily. Since libraries do not always have long-term relationships with program participants, they may have no effective mechanism for tracking program participants over time. Thus, most libraries will focus on initial and intermediate outcomes more effectively than on longer-term outcomes.

Outcome measures can be a tremendous planning boon for libraries and a guide to resource allocation. Every program has a variety of activities that are conducted as the program is implemented. Through measuring program outcomes, program planners and implementers can learn a great deal about what works and what doesn't work—what activities lead to higher levels of outcome achievement than others. In this way, staff can begin to target resources to those activities that are more effective.

With the support of the Institute of Museum and Library Services, an increasing number of State Library Agencies and recipients of National Leadership Grant awards are beginning to receive training in outcome measurement and encouragement to apply this system of evaluation to programs funded by the federal Library Services and Technology Act. As these agencies and organizations gain experience in applying outcome measurement to library programs, their experiences need to be shared broadly with the library community. Through the knowledge and experience of early adopters, the value of outcome measurement can be tested in a variety of library and program settings and a body of "best practices" can begin to evolve.

Those of us who have committed our life's work to the improvement of libraries are continually frustrated with our lack of ability to effectively "tell the library story." While it would much more convenient if the worth of libraries was simply accepted on faith by university presidents, county commissioners, city managers, and school boards, that is frequently not the case. Outcome measurement has the potential to be a powerful tool to help us substantiate the claims we know to be true about the impact of libraries in our institutions and in our society. Will it be an easy road to travel? No, but it will absolutely be worth the trip!

Outcome measurement has the potential to be a powerful tool to help us substantiate the claims we know to be true about the

impact of libraries in our institutions and in our society. Will it be an easy road to travel? No, but it will absolutely be worth the trip!

RESOURCES

If outcome-based and other formal program evaluation methods are new to your institution, many excellent publications are available to introduce them. This list is offered as a resource, and is not limiting or exclusive. While terminology differs from publication to publication, basic concepts are very similar. With the exception of IMLS's brief introduction, the following resources draw examples from educational and social service settings, but many are readily applicable to typical goals of library and museum programs. Many of the titles below are available at no cost online.

Bond, Sally L., Boyd, Sally E., and Rapp, Kathleen A. (1997). *Taking Stock: A Practical Guide to Evaluating your own Programs.* Chapel Hill, N.C.: Horizon Research, Inc., 111 Cloister Court, Suite 220, Chapel Hill, NC 27514, 919-489-1725 ($25.00, pb). This manual was developed for community-based science education initiatives through funding from the DeWitt Wallace-Readers Digest Fund. Participating advisors included the Association of Science-Technology Centers and the National Science Foundation. Available via Acrobat PDF at <http://www.horizon-research.com/publications/stock.pdf> as of April 17, 2000.

Institute of Museum and Library Services (1999). *Outcome-Based Evaluation for IMLS-Funded Projects for Libraries and Museums.* Contact Karen Motylewski, Institute of Museum and Library Services (IMLS), 1100 Pennsylvania Avenue, NW, Washington, DC 20560, 202-606-5551, e-mail <kmotylewski@imls.gov>. This brief introduction for IMLS grantees and proposers uses examples from library and museum contexts. Available on request in paper or electronic versions.

Mika, Kristine L. (1996). *Program Outcome Evaluation: A Step-by-Step Handbook.* Milwaukee, WI: Families International, Inc., 11700 West Lake Park Drive, Milwaukee, WI 53224 ($13.95, pb). Available commercially from various booksellers.

Project STAR (no date). *Support and Training for Assessing Results.* San Mateo, CA: Project Star, 480 E. 4th Ave., Unit A, San Mateo, CA 94401-3349, 1-800-548-3656. A basic manual for outcome-based evaluation produced by Project STAR under contract to the Corporation for National Service. Available via Rich Text Format or Acrobat PDF at <http://www.projectstar.org/> as of April 17, 2000.

United Way of America. *Measuring Program Outcomes: A Practical Approach* (1996). Alexandria, VA: United Way of America, 701 North Fairfax Street, Alexandria, VA 22314, 703-836-7100 or <http://www.unitedway.org/outcomes/publctns.htm#It0989> ($5.00, spiral bound, to not-for-profit organizations). Developed by United Way for its grantees, this manual led the movement to outcome-based evaluation by funders of not-for-profit organizations. See <http://www.unitedway.org/outcomes/publctns.htm> for other pertinent United Way publications, some available via Acrobat PDF or Rich Text Format.

W.K. Kellogg Foundation Evaluation Handbook (January 1998). Available via Acrobat PDF at <http://www.wkkf.org/Publications/evalhdbk/default.htm> as of April 17, 2000.

PC Magazine has published reviews ("Editor's Choice," February 8, 2000) of software tools for Web-based surveys that some programs may find useful. See <http://www.zdnet.com/pcmag/stories/reviews/0,6755,2417503,00.html> as of April 17, 2000.

Sage Publications, Inc., 2455 Teller Road, Thousand Oaks, CA 91320, 805-499-0721 or <www.sagepub.com> is a commercial publisher that specializes in publications on evaluation and related subjects. They offer many titles that cover aspects of evaluation in detail.

INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

The Logic Model
for Program Planning and Evaluation

Paul F. McCawley
Associate Director
University of Idaho Extension

What is the Logic Model?

The Logic Model process is a tool that has been used for more than 20 years by program managers and evaluators to describe the effectiveness of their programs. The model describes logical linkages among program resources, activities, outputs, audiences, and short-, intermediate-, and long-term outcomes related to a specific problem or situation. Once a program has been described in terms of the logic model, critical measures of performance can be identified.[1]

Logic models are narrative or graphical depictions of processes in real life that communicate the underlying assumptions upon which an activity is expected to lead to a specific result. Logic models illustrate a sequence of cause-and-effect relationships—a systems approach to communicate the path toward a desired result.[2]

A common concern of impact measurement is that of limited control over complex outcomes. Establishing desired long-term outcomes, such as improved financial security or reduced teen-age violence, is tenuous because of the limited influence we may have over the target audience, and complex, uncontrolled environmental variables. Logic models address this issue because they describe the concepts that need to be considered when we seek such outcomes. Logic models link the problem (situation) to the intervention (our inputs and outputs), and the impact (outcome). Further, the model helps to identify partnerships critical to enhancing our performance.

Planning Process

The logic model was characterized initially by program evaluators as a tool for identifying performance measures. Since that time, the tool has been adapted to program planning, as well. The application of the logic model as a planning tool allows precise communication about the purposes of a project, the components of a project, and the sequence of activities and accomplishments. Further, a project originally designed with assessment in mind is much more likely to yield beneficial data, should evaluation be desired.

In the past, our strategy to justify a particular program often has been to explain what we are doing from the perspective of an insider, beginning with why we invest allocated resources. Our traditional justification includes the following sequence:

Figure 1. Elements of the Logic Model.[3]
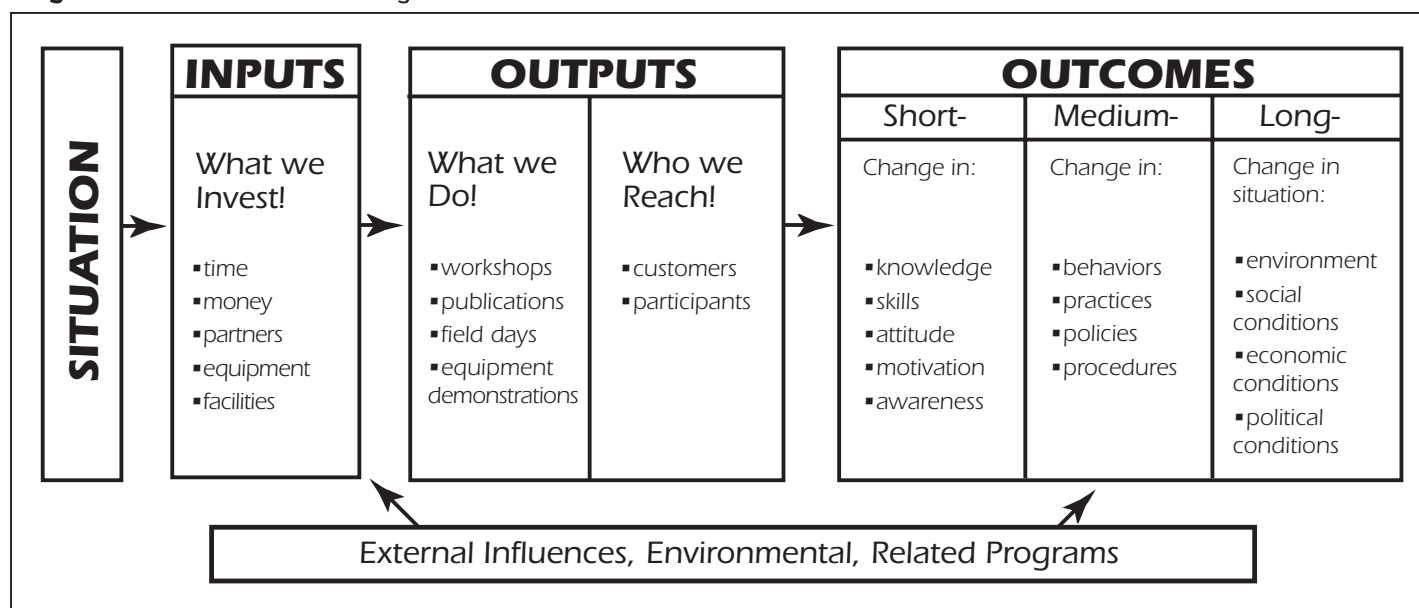
1) We invest this time/money so that we can generate this activity/product.

2) The activity/product is needed so people will learn how to do this.

3) People need to learn that so they can apply their knowledge to this practice.

4) When that practice is applied, the effect will be to change this condition;

5) When that condition changes, we will no longer be in this situation.

The logic model process has been used successfully following the above sequence. However, according to Millar *et al*,[2] logic models that begin with the inputs and work through to the desired outcomes may reflect a natural tendency to limit one's thinking to existing activities, programs, and research questions. Starting with the inputs tends to foster a defense of the status quo rather than create a forum for new ideas or concepts. To help us think "outside the box," Millar suggests that the planning sequence be inverted, thereby focusing on the outcomes to be achieved. In such a reversed process, we ask ourselves "what needs to be done?" rather than "what is being done?" Following the advice of the authors, we might begin building our logic model by asking questions in the following sequence.

1) What is the current situation that we intend to impact?

2) What will it look like when we achieve the desired situation or outcome?

3) What behaviors need to change for that outcome to be achieved?

4) What knowledge or skills do people need before the behavior will change?

5) What activities need to be performed to cause the necessary learning?

6) What resources will be required to achieve the desired outcome?

One more point before we begin planning a program using the logic model: It is recognized that we are using a linear model to simulate a multi-dimensional process. Often, learning is sequential and teaching must reflect that, but the model becomes too complicated if we try to communicate that reality (figure 2). Similarly, the output from one effort becomes the input for the next effort, as building a coalition may be required before the "group" can sponsor a needed workshop. Keep in mind that the logic model is a simple communication device. We should avoid complications by choosing to identify a single category to enter each item (i.e., inputs, outputs or outcomes). Details of order and timing then need to be addressed within the framework of the model, just as with other action planning processes.

Planning Elements

Using the logic model as a planning tool is most valuable when we focus on what it is that we want to communicate to others. Figure 3 illustrates the building blocks of accountability that we can incorporate into our program plans (adapted from Ladewig, 1998). According to Howard Ladewig, there are certain characteristics of programs that inspire others to value and support what we do. By describing the characteristics of our programs that communicate relevance, quality, and impact, we foster buy-in from our stakeholders and audience. By including these characteristics within the various elements of the logic

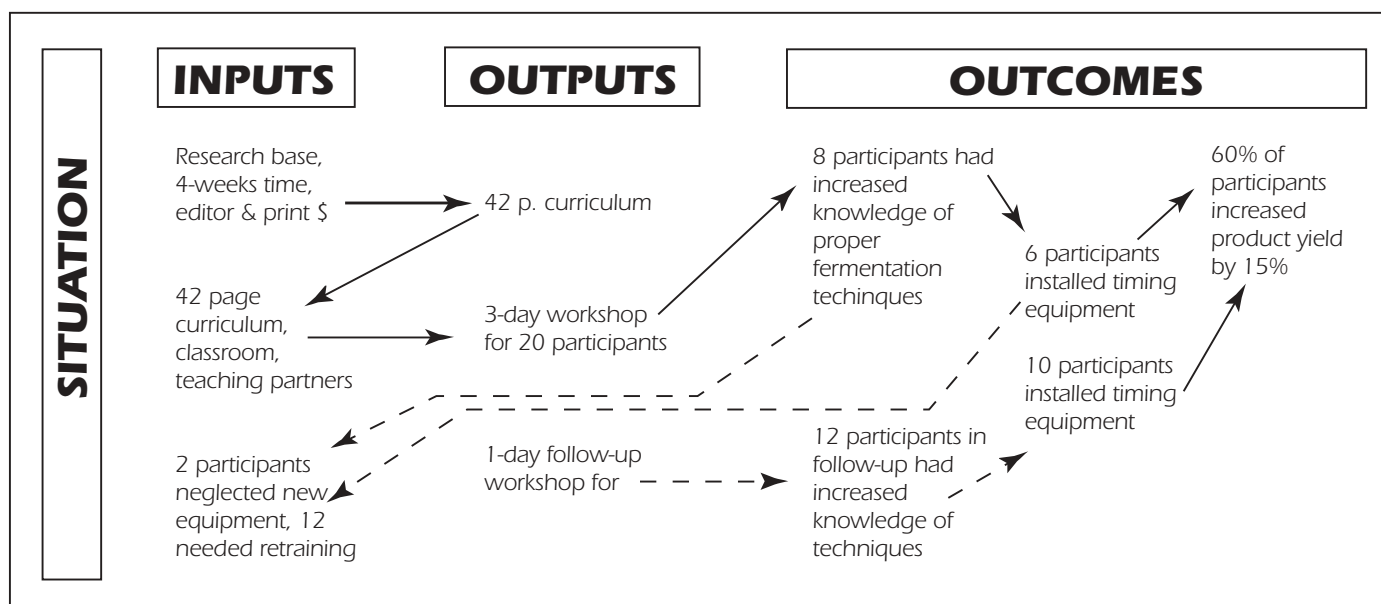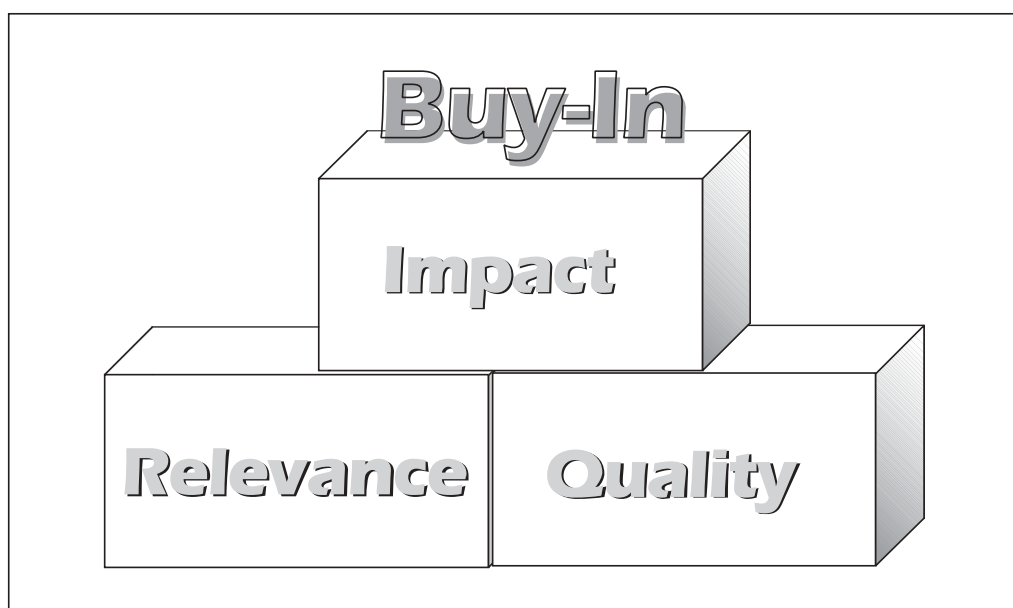**Figure 2.** Over-complicated, multi-dimensional planning model.

Figure 3. Structure of Acountablility.

model, we communicate to others why our programs are important to them. The elements of accountability are further described in the context of the logic model, below.

Situation

The situation statement provides an opportunity to communicate the relevance of the project. Characteristics that illustrate the relevance to others include:

- A statement of the problem, (What are the causes? What are the social, economic, and/or environmental symptoms of the problem? What are the likely consequences if nothing is done to resolve the problem? What are the actual or projected costs?);
- A description of who is affected by the problem (Where do they live, work, and shop? How are they important to the community? Who depends on them–families, employees, organizations?);
- Who else is interested in the problem? Who are the stakeholders? What other projects address this problem?

The situation statement establishes a baseline for comparison at the close of a program. A description of the problem and its symptoms provides a way to determine whether change has occurred. Describing who is affected by the problem allows assessment of who has benefited. Identifying other stakeholders and programs builds a platform to measure our overall contribution, including increased awareness and activity, or reduced concern and cost.

Inputs

Inputs include those things that we invest in a program or that we bring to bear on a program, such as knowledge, skills, or expertise. Describing the inputs needed for a program provides an opportunity to communicate the quality of the program. Inputs that communicate to others that the program is of high quality include:

- human resources, such as time invested by faculty, staff, volunteers, partners, and local people;
- fiscal resources, including appropriated funds, special grants, donations, and user fees;
- other inputs required to support the program, such as facilities and equipment;
- knowledge base for the program, including teaching materials, curriculum, research results, certification or learning standards etc.
- involvement of collaborators - local, state, national agencies and organizations involved in planning, delivery, and evaluation.

Projects involving credible partners, built on knowledge gained from research and delivered via tested and proven curricula, are readily communicated as quality programs. Assessing the effectiveness of a program also is made easier when planned inputs are adequately described. By comparing actual investments with planned investments, evaluation can be used to improve future programs, justify budgets, and establish priorities.

Outputs

Outputs are those things that we do (providing products, goods, and services to program customers) and the people we reach (informed consumers, knowledgeable decision

makers). Describing our outputs allows us to establish linkages between the problem (situation) and the impact of the program (intended outcomes). Outputs that help link what we do with program impact include:

- publications such as articles, bulletins, fact sheets, CISs, handbooks, web pages;
- decision aids such as software, worksheets, models;
- teaching events such as workshops, field days, tours, short courses;
- discovery and application activities, such as research plots, demonstration plots, and product trials.

The people we reach also are outputs of the program and need to be the center of our model. They constitute a bridge between the problem and the impact. Information about the people who participated and what they were taught can include:

- their characteristics or behaviors;
- the proportion or number of people in the target group that were reached;
- learner objectives for program participants;
- number of sessions or activities attended by participants;
- level of satisfaction participants express for the program.

Outcomes

Program outcomes can be short-term, intermediate-term, or long-term. Outcomes answer the question "What happened as a result of the program?" and are useful to communicate the impacts of our investment.

Short-term outcomes of educational programs may include changes in:

- awareness–customers recognize the problem or issue;
- knowledge–customers understand the causes and potential solutions;
- skills–customers possess the skills needed to resolve the situation;
- motivation–customers have the desire to effect change;
- attitude–customers believe their actions can make a difference.

Intermediate-term outcomes include changes that follow the short-term outcomes, such as changes in:

- practices used by participants;
- behaviors exhibited by people or organizations;

- policies adopted by businesses, governments, or organizations;
- technologies employed by end users;
- management strategies implemented by individuals or groups.

Long-term outcomes follow intermediate-term outcomes when changed behaviors result in changed conditions, such as:

- improved economic conditions–increased income or financial stability;
- improved social conditions–reduced violence or improved cooperation;
- improved environmental conditions–improved air quality or reduced runoff;
- improved political conditions–improved participation or opportunity.

External Influences

Institutional, community, and public policies may have either supporting or antagonistic effects on many of our programs. At the institutional level, schools may influence healthy eating habits in ways that are beyond our control but that may lead to social change.[5] Classes in health education may introduce children to the food pyramid and to the concept of proportional intake, while the cafeteria may serve pizza on Wednesdays and steak fingers on Thursdays. The community also can influence eating habits through availability of fast-food restaurants or produce markets. Even public policies that provide support (food bank, food stamps) to acquire some items but not others might impact healthy eating habits.

Documenting the social, physical, political, and institutional environments that can influence outcomes helps to improve the program planning process by answering the following:

- Who are important partners/collaborators for the program?
- Which part(s) of the issue can this project realistically influence?
- What evaluation measures will accurately reflect project outcomes?
- What other needs must be met in order to address this issue?

Evaluation Planning

Development of an evaluation plan to assess the program can be superimposed, using the logic model format. The evaluation plan should include alternatives to assess the processes used in planning the program. Process indicators should be designed to provide a measurable response to questions such as:

- Were specific inputs made as planned, in terms of the amount of input, timing, and quality of input?

- Were specific activities conducted as planned, in terms of content, timing, location, format, quality?

- Was the desired level of participation achieved, in terms of numbers and characteristics of participants?

- Did customers express the degree of customer satisfaction expected?

The evaluation plan also should identify indicators appropriate to the desired outcomes, including short-, medium-and long-term outcomes. Outcome indicators also should be measurable, and should be designed to answer questions such as:

- Did participants demonstrate the desired level of knowledge increase, enhanced awareness, or motivation?

- Were improved management practices adopted, behaviors modified, or policies altered to the extent expected for the program?

- To what extent were social, economic, political, or environmental conditions affected by the program?

Conclusion

Developing appropriate and measurable indicators during the planning phase is the key to a sound evaluation. Early identification of indicators allows the program manager/team to learn what baseline data already may be available to help evaluate the project, or to design a process to collect baseline data before the program is initiated. The logic model is useful for identifying elements of the program that are most likely to yield useful evaluation data, and to identify an appropriate sequence for collecting data and measuring progress. In most cases, however, more work on a project will be required before indicators are finalized. Outcome indicators to measure learning should be based on specific learner objectives that are described as part of the curriculum. Indicators to measure behavioral change should specify which behaviors are targeted by the program. Conditional indicators may require a significant investment of time to link medium-term outcomes to expected long-term outcomes through the application of a targeted study or relevant research base.

Figure 4. Insertion of evaluation plan into the logic model.
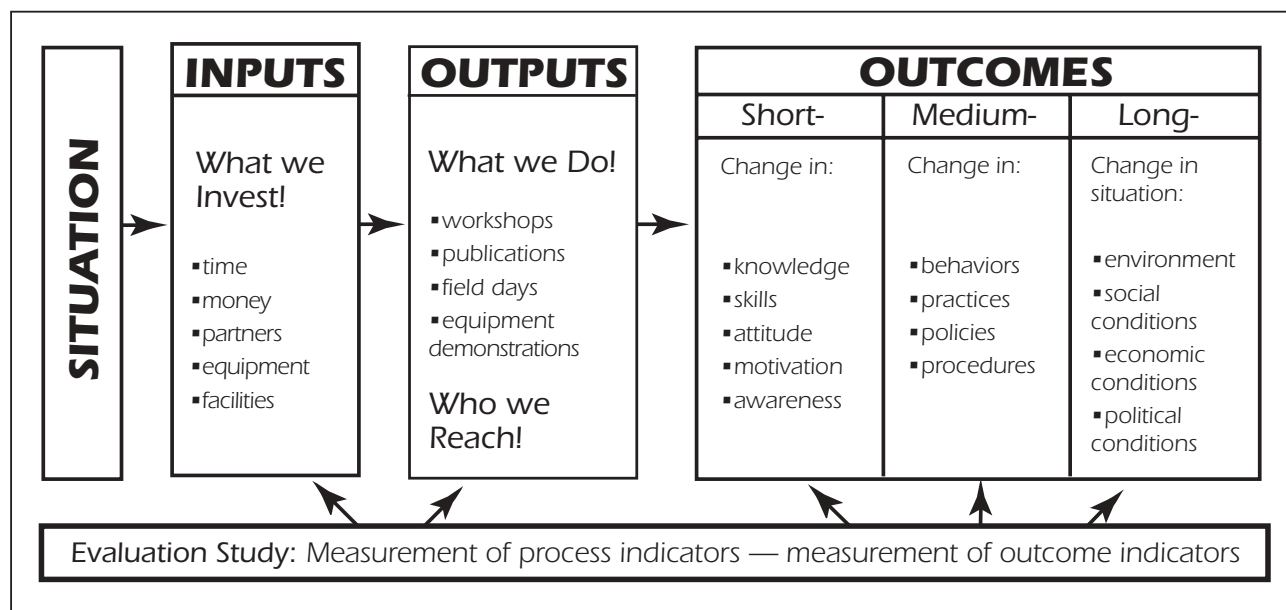
[1] McLaughlin, J.A. and G.B. Jordan. 1999. Logic models: a tool for telling your program's performance story. Evaluation and Planning 22:65-72.

[2] Millar, A., R.S. Simeone, and J.T. Carnevale. 2001. Logic models: a systems tool for performance management. Evaluation and Program Planning 24:73-81.

[3] Adapted from Taylor-Powell, E. 1999. Providing leadership for program evaluation. University of Wisconsin Extension, Madison.

[4] Ladewig, Howard. 1998-1999. Personal communication during sessions on "building a framework for accountability" with ECOP Program Leadership Committee (Tannersville, PA, 1998) and the Association of Extension Directors/ECOP (New Orleans, LA, 2000). Dr. Ladewig was a professor at Texas A&M University at the time of communication; he now is at the University of Florida.

[5] Glanz, K. and B.K. Rimer. 1995. Theory at a glance: a guide for health promotion practice. NIH pub. 95-3896. National Institutes of Health-National Cancer Institute. Bethesda, MD.

University of Idaho Extension

Logic Model Template				
Project Title			**Grant Period**	
Project Description				
Resources	**Activities/Methods**	**Outputs**	**Outcomes**	**Impacts**
In order to accomplish set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will produce the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, skills resulted from this project	Organizational, community or procedural level changes resulted from this project.
Name of resources	Name of activities	Number of items	Increased number Percentage increase	Increased number Percentage increase
Other Results				
Anecdotal Information				
Exemplary Reason				

Logic Model Template				
Project Title			**Grant Period**	
Project Description *Describe the problem so you can focus on the desired outcome. Envision the solution:what needs to change; what knowledge or skills are needed for the change to happen; what activities are required; what resources are needed. Identify the potential impact.*				
Resources	**Activities/Methods**	**Outputs**	**Outcomes**	**Impacts**
In order to accomplish set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will produce the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, skills resulted from this project	Organizational, community or procedural level changes resulted from this project.
Name of resources *What we invest:* *- Time/Staff* *- Money* *- Partners* *- Equipment* *- Facilities* *- Knowledge Base*	Name of activities *What you do:* *- Workshops* *- Publications* *- Publicity* *- Purchase Procedures*	Number of items *Quantitative*	Increased number Percentage increase *Quantitative assessment* *Qualitative assessment* *Often obtained through surveys or anecdotal information* *Real-life stories*	Increased number Percentage increase *Medium term:* *- Changes in practice* *- Changes in policy* *- Changes in procedures* *Long term:* *- Changes in situation (social, economic, political)*

Missouri State Library Logic Model Example				
Project Title			**Grant Period**	
Our College Programs for Targeted Populations Project			9/1/2008 - 3/31/2009	
Project Description				
The non-traditional students who tele-commute to campus do not make use of our online resources. Our project seeks to address this by providing virtual tours of our online resources and by holding an online introduction to our four main databases including tips on how to perform efficient and effective searches. This will be done at the start of the Fall semester. We will especially target students new to our college. Sessions will be recorded and available on our website for use throughout the school year. Sessions will be updated at least annually.				
Resources	**Activities/Methods**	**Outputs**	**Outcomes**	**Impacts**
In order to accomplish this set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will provide the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, and skills as a result of this project	Organizational, community or procedural level changes resulting from this project
Grant Funding	Work with IT on mechanics	Number of patrons served	New patrons use databases	Improved Internet resource evaluation
Library Staff	Develop virtual tour	Number of online sessions	Online search skills improve	Use of resources leads to improved grades
IT Department	Develop online resources training targeting each of our four main databases	Number of training days	Authority of online resources established	Improved library skills
Technical Trainer Skills Workshop	Develop and utilize promotional materials for the virtual tours and online resources training		Library skills increased	Improved lifelong learning skills
	Provide virtual tours			
	Provide online resources training			
Other Results				
Anecdotal Information				
Exemplary Reason				

Grant Acceptance and Administration

Grant Award Packets
When you are awarded a grant, you will receive a packet from the Missouri State Library that contains the Grant Agreement Standard Terms and Conditions, Grant Acceptance Form, Interim and Final Report forms, Request for Payment forms and any additional Certifications or Assurances that need to be completed for quality assurance, grant acceptance, and routine administration of your grant.

1. **Grant Agreement Standard Terms and Conditions and Grant Acceptance Form**
Specifies the terms and conditions of the grant award and its administrative and reporting requirements.

2. **Certifications and signatures**
   - Be sure the proper signatures are obtained and that the individuals sign in the correct place
   - In the absence of THE authorizing official, who else can sign documents of this nature?

   A. **Procurement Certification**
   - If your library has policies established regarding bidding for purchases, you should use those policies in administering the grant funds and to document the bid process through the use of the Procurement Certification form. Note, the procurement procedures you follow must reflect applicable State and local laws and regulations, and conform to applicable federal law and the standards identified in section 1183.36 of the Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments.

3. **Report and Payment Request Forms**
   - **Interim and final narrative report forms**: Details the progress of your project throughout the grant period using a narrative format.

   - **Interim and final financial report forms:** Used to indicate the status of the LSTA budget in spreadsheet format.

   - **Payment Summary**: Gives a detailed account of what has been purchased and the source of funding for each item or service. It includes purchases made with local and/or LSTA funds.

   - **Payment Request:** Used to request payments from the State Library for purchasing pertaining to the grant project.

Grant Acceptance

Long and Short Term Grants

When we receive the signed Grant Acceptance Form, we consider the grant activated. The document must have original signatures, not copies or facsimiles. Keep a copy for your grant file.

Ramifications

By accepting grant funds, recipients agree to be bound by all applicable public policy requirements, many of which will be included by reference in the Grant Agreement. Failure to comply with the requirements may result in suspension or termination of the award and government recovery of funds. Failure to comply could also result in civil or criminal prosecution.

Routine Grant Administration

Grant File

You should have one file that contains all of the paperwork associated with your grant. This includes:

1. Original application
2. Grant Agreement Standard Terms and Conditions
3. Signed copy of the Grant Acceptance Form
4. Signed copies of the Certifications and Assurances
5. MOSL purchase order
6. Payment requests
7. Interim and final reports
8. Outstanding report and payment forms
9. Invoices
10. Market analysis documentation
11. Bid process documentation
12. Promotional materials
13. Evaluation measures: statistics, surveys, etc.
14. Documentation of contacts with the State Library staff

Reporting Requirements

Long term grants typically have a one year grant period and require two interim reports and a final report. Short term grants typically have a grant period of six months or less and require only a final report. Summer Library Program grants require one interim report and a final report.

Requesting Payments

Funds must be encumbered BEFORE requesting first and second payments with expected payout of those funds within 45 days. The final payment request should be submitted along with your final report. Note payment receipt may be delayed if grant reports are incomplete or inaccurate or where the timing of the request falls in relation to the LSTA draw down cycle.

Grant Agreement Standard Terms and Conditions

THIS GRANT AGREEMENT TERMS AND CONDITIONS, THE ATTACHED
APPLICATION AND THE ACCOMPANYING PURCHASE ORDER WILL SERVE AS THE
GRANT AGREEMENT (HEREINAFTER REFERRED TO AS THE "AGREEMENT").

The return of the signed Grant Acceptance form shall constitute acceptance of this Agreement.
This Agreement is entered into between the Missouri Office of the Secretary of State's State
Library, (hereinafter, the "State Library") and the Grantee. In consideration of the mutual
covenants, promises and representations in this Agreement, the parties agree as follows:

(1) PURPOSE: The United States Congress pursuant to 20 U.S.C. §§ 9101 to 9123 has
     authorized funds to be used for improving library services. The purpose of this Agreement
     is to award to the Grantee the use of such funds, to be administered by the State Library,
     for the purposes specified in the grant application.

(2) GRANT PERIOD: The grant period is specified in the Grant Acceptance form.

(3) PAYMENT: Payment shall be made as follows:
     (A.) The first payment shall be made within 45 days after the Grantee submits to the
           State Library the First Payment and signed Certifications and Assurances forms.
     (B.) An interim payment for long term grant agreements, projects with a grant period of
           twelve months or longer, shall be made within 45 days after the Grantee submits to
           the State Library at least one Interim Report and the Request for Second Payment;
           provided that the State Library approves such reports and documentation.
     (C.) A final payment shall be made within 45 days of receipt of all reports and
           documentation required under the terms of this Agreement; provided that the State
           Library approves such reports and documentation.
     (D.) Any grant payment which includes travel shall be paid at the Office of Secretary of
           State's approved rates in effect at the time of the travel, or the grantees
           reimbursement rates, whichever is less.

(4) SCOPE OF GRANT: The Grantee shall use the grant funds awarded under the terms of
     this Agreement as described in the Grantee's grant application which is attached and
     incorporated as part of this Agreement.

(5) NOTICE: All notices, reports, or communications required by this Agreement shall be
     made in writing and shall be effective upon receipt by the Grantee or the State Library at
     their respective addresses of record. Either party may change its address of record by
     written notice to the other party.

     (A.) Notice to State Library: Notices to the State Library shall be addressed and
           delivered to the following:
           LSTA Grants Officer
           Missouri State Library
           600 W. Main
           P.O. Box 387
           Jefferson City, MO 65102-0387

(B.) <u>Notice to Grantee</u>: Notices to the Grantee shall be addressed and delivered to the name and address on the Grant Award Acceptance form.

(C.) <u>Notice to Office of Administration</u>: The Grantee shall notify the Office of Administration of the change of address through the Vendor Services Portal, Vendor Input/ACH-EFT Application at https://www.vendorservices.mo.gov/vendorservices/Portal/Default.aspx.

(6) <u>REPORTS</u>: The Grantee shall submit to the State Library reports documenting the successful completion of all project activities pursuant to this Agreement. Required forms for submission of any Interim and Final Reports shall be included with this Agreement, along with instructions for completing the forms and instructions for inclusion of other project related materials as part of the Final Report.

(7) <u>PUBLICATION CREDIT</u>: The grantee shall include in all publications or other materials produced in whole or in part with funds awarded under this Agreement the logo of the Institute of Museum and Library Services with the following text: "This (project/publication/activity) is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State".

(8) <u>RECORDS</u>: The Grantee shall retain, for not less than five years from the termination date of the grant period, records documenting the expenditure of all funds provided by the State Library pursuant to this Agreement. The Grantee shall, upon request, provide to the State Library any records so retained.

(9) <u>AUDIT AND ACCOUNTING</u>: The Grantee shall comply with the Single Audit Act, as amended, and OMB Circular No. A-133. The Grantee shall use adequate fiscal control and accounting procedures to disburse properly all funds provided by the State Library pursuant to this Agreement. The Grantee shall deposit unused funds provided pursuant to this Agreement in an interest bearing account and use any accrued interest from the account for the work and services to be provided pursuant to this Agreement.

(10) <u>LAW TO GOVERN</u>: This Agreement shall be construed according to the laws of the state of Missouri. The Grantee shall perform all work and services in connection with this Agreement in conformity with applicable state and federal laws and regulations including, but not limited to, the LSTA, Executive Order 12549 which provides that persons debarred or suspended shall be excluded from financial and non-financial assistance and benefits under federal programs, the Single Audit Act, as amended, and OMB Circular No. A-133. Other applicable laws are listed in the appendix.

(11) <u>SUBCONTRACTING</u>: The Grantee may subcontract work and services set forth in this Agreement, provided that the State Library shall not be liable to any subcontractor for any expenses or liabilities incurred under the subcontract. The Grantee shall be solely responsible for the services provided in connection with this Agreement and solely liable to any subcontractor for all expenses and liabilities incurred under the subcontract. For

contracts where the award is in excess of $5,000, no contractor or subcontractor shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri. In accordance with sections 285.525 to 285.550, RSMo, to reduce liability, the State Library shall require any general contract binding a contractor and subcontractor to affirmatively state that: a) the direct subcontractor is not knowingly in violation of subsection 1 of section 285.530, RSMo, and b) shall not henceforth be in such violation and c) the contractor or subcontractor shall receive a sworn affidavit under the penalty of perjury attesting to the fact that the direct subcontractor's employees are lawfully present in the United States.

(12) AMENDMENTS: Any change in this Agreement, whether by modification or supplementation, shall be accomplished by a formal written amendment signed and approved by the duly authorized representatives of the Grantee and the State Library, except that the Grantee may transfer an amount not to exceed five hundred dollars ($500) from one budget item to another budget item designated in the Grantee's grant application without obtaining a formal written amendment.

(12) INDEMNIFICATION: The Grantee shall be responsible for the acts, omissions to acts or negligence of the Grantee, its agents, employees and assigns. The Grantee shall hold harmless and indemnify the State Library, including its agents, employees and assigns, from every injury, damage, expense, liability or payment, including legal fees, arising out of any activities conducted by the Grantee in connection with or in any way relating to this Agreement.

(13) SOVEREIGN IMMUNITY: The State of Missouri, its agencies and its subdivisions do not waive any defense of sovereign or official immunity upon entering into this Agreement.

(14) INDEPENDENT CONTRACTOR: The Grantee, its agents, employees and assigns shall act in the capacity of an independent contractor in performance of this Agreement and not as an agent, employee or officer of the Office of the Secretary of State or the State Library.

(15) HEADINGS: The underlined headings appearing within this instrument shall not be incorporated as part of this Agreement and are included only for the convenience of the reader.

(16) ENTIRE AGREEMENT: This instrument embodies the whole agreement of the parties. No amendment shall be effective unless it is accomplished by a formal written amendment signed and approved by the duly authorized representatives of the Grantee and the State Library.

(17) ACCESS: The Grantee, at any time during the grant period, shall provide to the State Library access to the site of the work being provided under this Agreement.

(18) CFDA NUMBER: The Catalog of Federal Domestic Assistance number for this project is 45.310.

Appendix

Statues and Regulations Pertaining to LSTA Grant Awards

1. **Museum and Library Services Act**
   20 USC Chapter 72 – Museum and Library Services

2. **General Regulation for Administering the Grants**
   45 CFR 1183 – Uniform administrative requirements for grants and cooperative
   agreements to state and local governments

3. **Regulations Governing Allowable Costs**
   a. 2 CFR 225 – Cost principles for state, local, and Indian tribal governments;
   b. 2 CFR 220 – Cost Principles for educational institutions; or
   c. 2 CFR 230 – Cost principles for non-profit organizations

4. **Regulation Governing Auditing of LSTA Grants**
   OMB Circular A-133 – Audits of states, local governments, and non-profit organizations

5. **Regulations Governing Nondiscrimination**
   a. 45 CFR 1170 – Nondiscrimination on the basis of handicap in federally assisted
   programs or activities;
   b. 45 CFR 1181 – Enforcement of nondiscrimination on the basis of handicap in
   programs or activities conducted by the Institute of Museum and Library Services.
   c. 45 CFR 1110 – Nondiscrimination in federally assisted programs

6. **Other Applicable Regulations**
   a. 45 CFR 1185 – Governmentwide debarment and suspension
   b. 45 CFR 1186 – Governmentwide requirements for drug-free workplace

7. **State and local statutes and regulations**
   a. Rules of Elected Officials, Division 30 – Secretary of State, Chapter 200 – State
   Library
   b. Work Authorization Program – Sections 285.525-285.550, RSMo

«Project_Name» Grant Acceptance Form

Library Name: **«Applicant_Company_Name»**
Library Address: «Applicant_Mailing_Address**»**
                 «Applicant_City**»**, MO «Applicant_Zip**»**
Grant Project Number: **«Grant__ID»**
Grant Program: **«Project_Name»**
Grant Type: **Short Term**
Project Director: **«Proj_Dir_First_Name» «Proj_Dir_Last_Name»**
Grant Period: **«Grant_Begin_Date» to «Grant_End_Date»**
First Payment Amount: $**«First_Payment»**
Final Payment Amount: $**«Final_Payment»**
Total Grant Award Amount: $**«Awarded_Amount»**
Amendment Threshold: **$500**
Final Report Due: **«Final_Due_Date»**

Please make two copies of this form. Sign each copy and indicate if the grant is accepted or declined. Keep one copy for the institution's records and return one copy to the Missouri State Library. The return of this form will activate the grant. Do not begin encumbering funds before the start of the grant period.

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program as well as the terms and conditions specified in the accompanying grant agreement and purchase order, "agreement", hereby incorporated by reference. We will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying library. By signing this application, the undersigned authority acknowledges compliance with and agreement to the "agreement" and all eligibility requirements.

_____
Signature of Authorized Individual (Use Blue Ink)
Typed First and Last Name:
Job Title:
Date:

<u>OR</u>

We do not accept the grant and the funds can be reallocated to other projects.

_____
Signature of Authorized Individual (Use Blue Ink)
Typed First and Last Name:
Job Title:
Date:

Forms for LSTA grants

Generally, reports consist of the following items. Please use the report forms furnished in your grant packet.

1. ***Financial Report***: List only LSTA Grant funds. Do not include local funds on the chart. Round all figures to whole dollar amounts.

LSTA Amount Approved—The amount approved in each category as stipulated in the Grant Agreement. Do not change any of these figures. Changes can only be made after a request for change is submitted to the State Library in writing and is approved by the State Librarian.

LSTA Amount Spent This Period—List amounts expended during this reporting period for each category.

LSTA Amount Spent to Date—List total amount of funds spent to date in each category, including the amount in LSTA Amount Spent This Period.

LSTA Unspent Balance—List what is left to spend. (LSTA Amount Approved minus LSTA Amount Spent to Date)

2. ***Payment Summary:*** Expenditures should be arranged by budget category. List the items purchased, invoice number, invoice date, name of vendor, LSTA funds spent, local funds spent, and total amount of each invoice. For expenditures related to personnel include the name of staff as Vendor, number of hours worked and services performed in Description, position status in Invoice Number, time of service in Invoice Date, and wages paid by funding source. Please make as many copies of this form as needed to complete your list. You are required to retain original invoices as documentation for this grant. ***PLEASE NOTE****: **You must submit copies of purchase orders and invoices for the computers, laptops and servers you purchased to show that you have met the specifications.***

Example:

Budget Category	Description of Item or Service	Invoice Number	Invoice Date	Vendor	LSTA Funds	Local Funds	Total
Equipment	*3 Dell X9950 laptop computers*	*11761*	*7/28/12*	*Dell*	*$1,775.86*	*$591.96*	*$2,367.82*
Personnel	*15 hours for computer installation*	*Part-time IT staff*	*August 2012*	*Jane Smith*	*$264.56*	*$88.19*	*$352.75*

3. ***Procurement Certification:*** Use this form to show documentation for your purchase process ONLY IF you had items or contractual services of one type over $3,000 in the aggregate. There will be instructions with the form.

4. ***Narrative Report:*** The narrative report has two sections which must be completed to document the activities that occurred during the grant period:

    - **Preliminary Information:**
        a. Time period covered in the report
        b. Name, phone number and email address of the person making the report
        c. Grant and local funds spent
        d. Number of people impacted by the project during the grant period
        e. Was the grantee subject to a Single Audit during the grant period
        f. Number of records converted or images created, if applicable

    - **Narrative Report Questions**
        a. ***Activities:*** List the project activities carried out during the reporting period.
        b. ***Project Changes and Additions:*** Describe any variations from the original grant application that took place in the project during this time. Document how the State Library was informed of and approved the changes.
        c. ***Financial Status:*** How well are you adhering to the approved budget? Do you still anticipate spending all funds? The Grantee is allowed to transfer a total of $500 without obtaining a formal written amendment. Is there a need to adjust the budget via a formal amendment? Note that an amendment must be completed BEFORE any purchases are made or services rendered.
        d. ***Outputs:*** List evaluation measures that will show evidence of service delivery. What data can you document at this time?
        e. ***Outcomes:*** What outcomes can you identify in the people served by this project? This includes changes in behavior, skills, attitudes, etc. Identify the overall impact the project has had on your library, the individuals served, and your community. Provide a summary of any survey responses received.
        f. ***Best Practices:*** What lessons have you learned regarding working with the people impacted by this project? How will that experience contribute to best practices you can continue to use at your library?
        g. ***Project Promotion:*** How did you promote the project within your library and community? Attach copies of support materials: publicity, announcements, instructor materials/handouts, evaluation instruments and results. Also indicate how you let the community know this project was funded through an IMLS-LSTA grant.
        h. ***Other:*** Any other comments you feel are appropriate.

5. ***Payment Request Form:*** Complete all information on the payment request form in order to receive payment of your grant. If you did not expend all of the allowable funds, please adjust the final payment total by subtracting the amount not spent (the "unexpended balance" on your financial report).

Amendments

Changes may be made formally and approved through a supplemental agreement or amendment to the original grant or informally through correspondence. Changes must be approved before committing LSTA funds. Do not rely on reimbursement of local funds spent before amendment is finalized. An amendment may be warranted by:

1. **Budget changes**
   a. Moving over $500 between existing budget categories
   b. Moving any funds into a budget category not in the grant award

2. **Programmatic changes**
   a. Scope or objective of the project
   b. Extending the grant period
   c. Changes in key personnel if listed by name in the grant application
   d. Changes in subcontractor if listed by name in the grant application

Requests for Amendment must be submitted at least 3 weeks before the end of the grant period. Be sure you fill out the form completely including reasons/justifications for change. If approved, we will draft the Amendment to your Agreement. The library representative, the State Librarian and the Executive Deputy Secretary of State must sign the Amendment prior to placing any orders. The Request for Amendment form is available online on the Missouri State Library Grant Programs page.

Project Promotion

Receiving a LSTA grant is a recognition of excellence that should be shared with your community. As a recipient, you are required to acknowledge IMLS support and take steps to extend the award's impact on the community at large. Working with the media is one of the most economical ways to develop a strong, positive presence in your community. IMLS has developed guidelines designed to help you do that, particularly if your organization hasn't had much experience with media relations in the past. The Media tips are available at http://www.imls.gov/recipients/grantee.aspx.

Guidelines for IMLS Acknowledgement
from: http://www.imls.gov/recipients/imls_acknowledgement.aspx

The Institute of Museum and Library Services (IMLS) requires public acknowledgement of the activities it supports. We have a logo and tag line that should be used in acknowledging our support. The guidelines for crediting IMLS are described below. You should use newspaper articles, op-ed pieces, radio interviews, and other media activities to extend the impact of your effort; our support should be mentioned in media activities related to your award. If you have any questions regarding the forms of acknowledgment, contact the Office of Communications and Government Affairs at 202-653-4757.

Publicity Campaigns

Please notify the Office of Communications and Government Affairs of media and outreach efforts involving activities supported by our awards. If you have questions, please contact our office to discuss proper acknowledgment of funding. We are always happy to receive samples of publications, advertisements, press kits, and press releases created as part of this outreach.

Use of the IMLS Logo

IMLS logos are available here. The logo may be used in a variety of ways: on websites, multimedia materials, annual reports, newsletters, posters, news releases and press kits, educational materials, signage, banners, invitations to events, and even on your stationery. The logo should be legible and no smaller than 1.75" wide. Please review the Logo Standards Guide (PDF) before using the logo.

Sample Tag Line

The following acknowledgment may be used with or without the logo:

The Institute of Museum and Library Services is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. Through grant making, policy development, and research, IMLS helps communities and individuals thrive through broad public access to knowledge, cultural heritage, and lifelong learning.

Guidelines for Activities Supported by Your Grant

- PUBLIC EVENTS: At programs or public gatherings related to your award, acknowledge IMLS in remarks and in press materials; display the logo on signage.
- PRINTED MATERIALS: Acknowledge us as follows: "This project is made possible by a grant from the U.S. Institute of Museum and Library Services." For posters, use a size that makes the words "Institute of Museum and Library Services" legible from a distance.
- WEBSITES: Acknowledge us on your website.

Grant Monitoring

Purpose

The Missouri State Library is required to ensure that the agencies to which it awards LSTA funds administer them as proposed and in accordance with applicable law and rules.

Monitoring of a grant project is handled in several ways, including:
- Monitoring by phone calls
- Monitoring by informal e-mail communication
- Monitoring by formal reports required by grant agreements
    - Interim reports
    - Payment requests
    - Final reports to complete grant project evaluation
- Monitoring on-site visits provide the opportunity for Library Development Division staff to assist agencies in administering grants. The purpose of the monitoring visit is to:
    - Provide assistance in project implementation.
    - Verify that projects are being implemented as proposed.
    - Identify and assist in correcting problems in a timely manner.

The grant proposal and any project revisions provide the basis for the monitoring process. The project is expected to closely follow the proposal and any subsequently approved project revisions.

Process

At minimum, your grant will be monitored through report reviews. Additional monitoring is dependent on a number of factors such as size of the grant award, maturity and complexity of the project, scope changes, etc.

Before the project is monitored by a visit, Division staff will contact the project director to set a mutually convenient date. Prior to the visit, a letter confirming the visit, along with other information about monitoring, will be sent. During the visit, Division staff will observe project operation, examine related documents, and meet with project staff to gather information about the project. After the visit, Division staff will prepare a written report. Copies of the report are sent to the library and to others as requested or required.

Links to Statues and Regulations Pertaining to LSTA Grant Awards

1. **Museum and Library Services Act**
   20 USC Chapter 72 – Museum and Library Services
   Available at
   http://www.imls.gov/about/20usc.shtm

2. **General Regulation for Administering the Grants**
   45 CFR 1183 – Uniform administrative requirements for grants and cooperative agreements to state and local governments
       Available at
   http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?sid=dfb2b608136bb7fae76f6b81e126d00b&c=ecfr&tpl=/ecfrbrowse/Title45/45cfrv3_02.tpl#1100

3. **Regulations Governing Allowable Costs**
   There are three CFRs that cover allowable costs:

   a. 2 CFR 225 – Cost principles for state, local, and Indian tribal governments
       Available at
   http://ecfr.gpoaccess.gov/cgi/t/text/textidx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr225_main_02.tpl

   b. 2 CFR 220 – Cost Principles for educational institutions
       Available at
   http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&%3C?SID%3E&tpl=/ecfrbrowse/Title02/2cfr220_main_02.tpl

   c. 2 CFR 230 – Cost principles for non-profit organizations
       Available at
   http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&%3C?SID%3E&tpl=/ecfrbrowse/Title02/2cfr230_main_02.tpl

4. **Regulation Governing Auditing of LSTA Grants**
   OMB Circular A-133 – Audits of states, local governments, and non-profit organizations
       Available at
   http://www.whitehouse.gov/omb/circulars/a133/a133.html

5. **Regulations Governing Nondiscrimination**
   There are also three CFRs that cover various nondiscrimination issues:

a. 45 CFR 1170 – Nondiscrimination on the basis of handicap in federally assisted programs or activities;
      Available at
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=26979ad2ba13e2ef3fa53ccd30da4d57;rgn=div5;view=text;node=45%3A3.1.6.7.16;idno=45;cc=ecfr

b. 45 CFR 1181 – Enforcement of nondiscrimination on the basis of handicap in programs or activities conducted by the Institute of Museum and Library Services.
      Available at
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=015ed4f46f6f814655aa1d2da6649e8f&rgn=div5&view=text&node=45:3.1.6.8.25&idno=45

c. 45 CFR 1110 – Nondiscrimination in federally assisted programs
      Available at
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=015ed4f46f6f814655aa1d2da6649e8f&rgn=div5&view=text&node=45:3.1.6.4.3&idno=45

6. Other Applicable Regulations
a. 45 CFR 1185 – Governmentwide debarment and suspension
      Available at
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=015ed4f46f6f814655aa1d2da6649e8f&rgn=div5&view=text&node=45:3.1.6.8.28&idno=45

b. 45 CFR 1186 – Governmentwide requirements for drug-free workplace
      Available at
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=015ed4f46f6f814655aa1d2da6649e8f&rgn=div5&view=text&node=45:3.1.6.8.29&idno=45

7. State and local statutes and regulations

a. Rules of Elected Officials, Division 30 – Secretary of State, Chapter 200 – State Library
      Available at
http://www.sos.mo.gov/adrules/csr/current/15csr/15c30-200.pdf

b. Work Authorization Program – Sections 285.525-285.550, RSMo
http://www.moga.mo.gov/STATUTES/C285.HTM

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with the certification requirements under 45 CFR 1185. Further information may be obtained by contacting the Library Development Division of the Missouri State Library.

1. Lobbying

As required by Section 1352, Title 31, of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000 as defined at 34 CFR Part 82.105 and 82.110, the applicant certifies that:
(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
(c)The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. Debarment, Suspension, and Other Responsibility Matters

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--
A. The applicant certifies that it and its principals:
(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
(c)Are not presently indicted for or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any offenses enumerated in paragraph (l)(b) of this certification; and
B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. Drug Free Workplace
(Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Section 85.605 and 85.610-
A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees about--
(1) The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c)Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later that five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Missouri State Library, Library Development Division, 600 West Main Street, P.O. Box 387, Jefferson City, Missouri 65102-0387. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(l) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

_____
_____
_____

Check [ ] if there are workplaces on file that are not identified here.

Drug-Free Workplace
(Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Missouri State Library, Library Development Division, 600 West Main Street, P.O. Box 387, Jefferson City, Missouri 65102-0387. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.
Name of Applicant

_____
Project Number and/or Project Name

_____
Printed Name and Title of Authorized Representative

_____
Signature

_____
Date

8/00

INTERNET SAFETY CERTIFICATION FOR APPLICANT PUBLIC LIBRARIES
PUBLIC ELEMENTARY AND SECONDARY SCHOOL LIBRARIES, and
CONSORTIA WITH PUBLIC AND/OR PUBLIC SCHOOL LIBRARIES

As the duly authorized representative of the applicant library, I hereby certify that the library is (check only one of the following boxes)
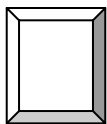
A. ☐ CIPA Compliant *(The applicant library has complied with the requirements of Section 9134(f)(1) of the Library Services and Technology Act.)*

OR
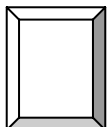
B. ☐ The CIPA requirements do not apply because no funds made available under the LSTA program are being used to purchase computers to access the Internet, or to pay for direct costs associated with accessing the Internet.

_____
Signature of Authorized Representative

_____
Printed Name of Authorized Representative

_____
Title of Authorized Representative

_____
Date

_____
Name of Applicant Library/Program

Missouri State Library LSTA Grants
Procurement Requirements

PLEASE NOTE: If your library has policies established regarding bidding for purchases, you are encouraged to use those policies in administering the grant funds. "Grantees and subgrantees will use their own procurement procedures which reflect applicable State and <u>local laws and regulations</u>, provided that the procurements conform to applicable federal law and the standards identified in [section 1183.36]."

The attached Procurement Certification form is to be used to document bid processes of expenditures for identical goods or services over $3,000. (Example – 18 identical laptop computers @ $1,800 each = $32,400). If equipment is purchased through the State Contract, you are not required to obtain additional bids from other sources. Simply state on the Procurement Certification form that the contract was awarded on the basis of State Contract.

The Library Services and Technology Act (LSTA) is governed by the federal regulations in 45 CFR Ch. XI, Part 1183. You may wish to check the section on Procurement Requirements, found at Part 1183.36. All federal grants are required to be in compliance to Office of Management and Budget (OMB) Circulars A-21, A-122, or A-87 concerning cost principles. These regulations set the threshold for procurement by "small purchase procedures" at $100,000. "If small purchase procedures are used, price or rate quotations shall be obtained from an adequate number of qualified sources." (45 CFR Ch. XI, 1183.36.4.d)

For purchases of equipment over $3,000 in aggregate—Report the price and rate quotations you obtained through:
1. Informal Method - Requests for proposals from an "adequate number of qualified sources," which may be three or more sources, however, if only one proposal is acquired in a non-competitive proposal, the library must show that there is only one source, or competitive or sealed bids have failed to produce a list of interested vendors.
   OR
2. Formal Method - Public advertising for sealed bids and a fixed-price contract awarded to "The responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price."

Publicly listed price quotations may be gathered from such sources as Internet web pages or catalog advertisements; these may be counted as price & rate quotations. Keep all printouts and/or photocopies of quotations on file at your library; send us only the Procurement Certification form.

For purchases over $100,000—Public advertising for sealed bids is required and a fixed-price contract is to be awarded to the lowest bidder (see Federal regulations for more details).

Library Services and Technology Act Grant Program,
Administered by the Missouri State Library, a Division of
The Office of the Secretary of State
PROCUREMENT CERTIFICATION

Library: _____ **Grant Number:** _____

1. Sealed Bids were received: _____yes _____no
   If yes, these are the results:
      a. Bidder name: _____ Amount: _____
      b. Bidder name: _____ Amount: _____
      c. Bidder name: _____ Amount: _____
      d. Bidder name: _____ Amount: _____
      e. Bidder name: _____ Amount: _____
    The Contract was awarded to: _____
    on the basis of: _____ low bid, or _____
   _____
   _____
   _____
                          (state reasons)

2. By direct queries via telephone, email, letter, or fax: _____yes _____no
   If yes, these are the results:
      a. Bidder name: _____ Amount: _____
      b. Bidder name: _____ Amount: _____
      c. Bidder name: _____ Amount: _____
      d. Bidder name: _____ Amount: _____
      e. Bidder name: _____ Amount: _____
    The Contract was awarded to: _____
    on the basis of: _____ low bid, or _____
   _____
   _____
   _____
                          (state reasons)

3. The vendor and the product chosen were a sole source: _____yes _____no
   This fact was ascertained by the following steps. (Show how you reached this
   conclusion below. If necessary, attach another sheet.)

I hereby certify by my signature that the above statements are true and factual to the best of my knowledge:

_____
Library Director's Signature *(Please sign in blue ink.)*   Date

Grant applications requesting an excess of $5,000 also need to submit a completed Business Entity Certification form indicating compliance with the Work Authorization Program. For vendor, bidder or contractor, read "grantee".

Work Authorization Program
Effective September 1, 2009
NOTICE TO VENDORS

As a condition for the award of any contract or grant in excess of five thousand dollars by the state or by any political subdivision of the state to a business entity, or for any business entity receiving a state administered or subsidized tax credit, tax abatement, or loan from the state, the business entity shall, by sworn affidavit and provision of documentation, affirm its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. Every such business entity shall sign an affidavit affirming that it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services. [RSMO 285.530 (2)]

An employer may enroll and participate in a federal work authorization program and shall verify the employment eligibility of every employee in the employer's hire whose employment commences after the employer enrolls in a federal work authorization program. The employer shall retain a copy of the dated verification report received from the federal government. Any business entity that participates in such program shall have an affirmative defense that such business entity has not violated subsection 1 of this section. [RSMO 285.530 (4)]

Effective September 1, 2009, any entity contracting with the state or any political subdivision of the state shall only be required to provide the referenced affidavit, on an annual basis. The affidavit can be found at http://www.oa.mo.gov/purch/vendorinfo/285affidavit.pdf. Vendors may choose to send the required documentation using one of the following options:

1. Send the notarized affidavit and MOU signature page to Division of Purchasing & Materials Management (DPMM) prior to responding to any solicitations; **OR**
2. Send the notarized affidavit and MOU signature page to DPMM along with a bid solicitation response.

Affidavits with a notarized dated of September 1, 2009 or later and the MOU signature page may be sent directly to DPMM via fax at 5735269815, email to purchmail@oa.mo.gov or mail to State of Missouri, OA/DPMM, P. O. Box 809, Jefferson City MO 65102, **attention: Work Authorization Program**. These documents will be kept on file for use by DPMM and other Missouri state agencies' use. These documents will remain current for **one year** from the notarized affidavit date. For additional information regarding this new annual affidavit requirement, please email purchmail@oa.mo.gov or call 5737512387.

For vendors that are not already enrolled and participating in a federal work authorization program, EVerify is an example of this type of program. Information regarding EVerify is available at http://www.dhs.gov/xprevprot/programs/gc_1185221678150.shtm.

EXHIBIT A
BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION,
AND AFFIDAVIT OF WORK AUTHORIZATION

BUSINESS ENTITY CERTIFICATION:
The bidder/contractor must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

BOX A: To be completed by a non-business entity as defined below.
BOX B: To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at http://www.dhs.gov/xprevprot/programs/gc_1185221678150.shtm.
BOX C: To be completed by a business entity who has already submitted documentation with a notarized date on or after **September 1, 2009**, to a Missouri state agency including Division of Purchasing and Materials Management.

Business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term "**business entity**" shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term "**business entity**" shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term "**business entity**" shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

BOX A – CURRENTLY NOT A BUSINESS ENTITY

I certify that _____ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

☐ I am a self-employed individual with no employees; **OR**
☐ The company that I represent utilizes the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if _____ (Company/Individual Name) is awarded a contract for the services requested herein under _____ (Bid/SFS/Contract Number) and if the business status changes during the life of the contract to become a business entity as defined in section 285.525, RSMo pertaining to section 285.530, RSMo then, prior to the performance of any services as a business entity, _____ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the _____(insert agency name) with all documentation required in Box B of this exhibit.

_____   _____
Authorized Representative's Name   Authorized Representative's Signature
(Please Print)

_____   _____
Company Name (if applicable)   Date

EXHIBIT A, continued

<div style="background:black;color:white;text-align:center">**BOX B – CURRENT BUSINESS ENTITY STATUS**</div>

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo pertaining to section 285.530.

_____   _____
Authorized Business Entity   Authorized Business Entity
Representative's Name   Representative's Signature
(Please Print)

_____   _____
Business Entity Name   Date

_____
E-Mail Address

As a business entity, the bidder/contractor must perform/provide the following. The bidder/contractor should check each to verify completion/submission:

❒ Enroll and participate in the E-Verify federal work authorization program (Website: http://www.dhs.gov/xprevprot/programs/gc_1185221678150.shtm; Phone: 888-464-4218; Email: e-verify@dhs.gov) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND

❒ Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include a page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/contractor's name and the MOU signature page completed and signed, at minimum, by the bidder/contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the bidder's/contractor's name and company ID, then no additional pages of the MOU must be submitted.; AND

❒ Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.

EXHIBIT A, continued

AFFIDAVIT OF WORK AUTHORIZATION:

The bidder/contractor who meets the section 285.525, RSMo definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now _____ (Name of Business Entity Authorized Representative) as _____ (Position/Title) first being duly sworn on my oath, affirm _____ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State for the duration of the contract(s), if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that _____ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided to the contract(s) for the duration of the contract(s), if awarded.

In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)

_____   _____
Authorized Representative's Signature   Printed Name

_____   _____
Title   Date

_____
E-Mail Address

Subscribed and sworn to before me this _____ of _____. I am
                                                   (DAY)   (MONTH, YEAR)

commissioned as a notary public within the County of _____, State of
                                                            (NAME OF COUNTY)

_____, and my commission expires on _____.
(NAME OF STATE)   (DATE)

_____   _____
Signature of Notary   Date

EXHIBIT A, continued

BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo pertaining to section 285.530, RSMo and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri. We have previously provided documentation to a Missouri state agency or public university that affirms enrollment and participation in the E-Verify federal work authorization program. The documentation that was previously provided included the following.

- ✓ A page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/contractor's name and the MOU signature page completed and signed by the bidder/contractor and the Department of Homeland Security – Verification Division.
- ✓ A completed, notarized Affidavit of Work Authorization signed and dated on or after **September 1, 2009**.

_____   _____

Authorized Business Entity   Authorized Business Entity
Representative's Name   Representative's Signature
(Please Print)

_____   _____

E-Verify MOU Company ID   E-Mail Address
Number

_____   _____

Business Entity Name   Date

Missouri State Agency or Public University* Name   _____

Date of Submission   _____

Bid/Contract Number   _____

(If known)

* Public University includes the following five schools:
- ➢ Harris-Stowe State University - St. Louis
- ➢ Missouri Southern State University - Joplin
- ➢ Missouri Western State University - St. Joseph
- ➢ Northwest Missouri State University – Maryville
- ➢ Southeast Missouri State University - Cape Girardeau
- ➢ Division of Purchasing & Materials Management

ABBREVIATIONS

Abbreviation:	Stands For:
AASL	American Association of School Libraries
ADA	Americans with Disabilities Act
AEL	Adult Literacy & Education
ALA	American Library Association (or American Literacy Assoc.)
ALCTS	Association for Library Collections & Technical Svcs. (A division of ALA)
ALSC	Association for Library Service to Children (A division of ALA)
ALTA	Association of Library Trustees and Advocates (A division of ALA)
ASCLA	Association of Specialized and Cooperative Library Agencies (A division of ALA)
Bibliostat	An online program used to dissect and analyze library statistics
CAAL	Council for Advancement of Adult Literacy
CAN	Designation to show the year money (federal) given to us
CE	Continuing Education
CIPA	Children's Internet Protection Act
COABE	COmmission on Adult Basic Education Inc.
DDC	Dewey Decimal Classification
DESE	Dept. of Elementary & Secondary Education
DOC	Dept. of Corrections
ECRR	Every Child Ready to Read
EFT	Electronic Funds Transfer
ELL	English Language Learners
E-Rate	Telecommunication discount program for libraries regulated by FCC
ESL	English As a Second Language
ESOL	English Speakers of Other Languages
FAQ	Frequently Asked Questions
FCC	Federal Communications Commission
FOL	Friends of the Library
FSCS	Federal-State Cooperative System (for Public Library Data)
GED	General Educational Development
GEDC	GED Connection
GOB	Governor's Office Building
HTML	Hypertext Mark-up Language
HTTP	Hypertext transfer protocol
IFLA	International Federation of Library Associations and Institutions
ILL	Interlibrary Loan
IMLS	Institute of Museum and Library Services
IP	Internet Protocol
ISBN	International Standard Book Number
KCMLIN	Kansas City Metropolitan Library and Information Network
KET	Kentucky Educational Television
LAMA	A division of ALA
LAN	Local Area Network
LC	Library of Congress
LCCN	Library of Congress Card Number

Abbreviation:	Stands For:
LEP	Limited English Proficient
LIFT	Literacy Investment for Tomorrow
LITA	Library and Information Technology Association
LSTA	Library Services and Technology Act
LVA	Literacy Volunteers of America
MARC	Machine Readable Cataloging (or Mid America Regional Council)
MASL	Missouri Association of School Librarians
MCB	Missouri Center for the Book
MCDC	Missouri Census Data Center
MLA	Missouri Library Association (or Missouri Literacy Association)
MLNC	Missouri Library Network Corporation
MLS	Master's Degree in Library Science
MOBIUS	Missouri Bibliographic Information User System
MOFLI	Missouri Family Literacy Institute
MOLLi	Missouri Online Library
MOREnet	Missouri Research and Education Network
MOSL	Missouri State Library
NAAL	National Assessment of Adult Literacy
NALP	National Assessment for Educational Progress
NALS	National Adult Literacy Survey
NCAL	National Center for Adult Literacy
NCES	National Center for Educations Statistics
NCFL	National Center for Family Literacy
NCLIS	U.S. National Commission on Libraries and Information Science
NEMO	Northeast Missouri Library Service
NIFL	National Institute for Literacy
NISO	National Information Standards Organization
NLA	National Library Association
NLS	National Library Service for the Blind and Physically Handicapped
OA	Office of Administration
OBE	Outcome Based Evaluation
OCLC	Online Computer Library Corporation
OPAC	Online Public Access Catalog
OSEDA	Office of Social and Economic Data Analysis
OVAE	Office of Vocational and Adult Education
PCTT	Parent Child Together Time
PDQ	In SAM II - Decentralized Purchase Order
PGQ	In SAM II - Quick Price Agreement Order
PIRC	Parent Information & Resource Center (LIFT Associated)
PPPC	Practical Parenting Partnerships Center
PVE	In SAM II - Expense Report
RC	In SAM II - Receiver
RCEW	Regional Center for Educational Work
REAL	Remote Electronic Access for Libraries
RFQ	Request for Quotation
SAM II	Statewide Advantage for Missouri (State's accounting system)

Abbreviation:	Stands For:
SC	In SAM II - Service Contract
SCALE	Student Coalition for Action in Literacy Education
SCS	In SAM II - Simplified Service Contract
SLAA	State Library Administrative Agency
SLD	School and Library Division
SOS	Secretary of State
SRP	Summer Reading Program
TESOL	Teachers of English to Speakers of Other Languages
TMI	Too Much Information
TSRP	Teen Summer Reading Program
USAC	Universal Services Administrative Company
VALUE	Voice for Adult Literacy United for Education
VISTA	Volunteers in Service to America
WES	Workplace Essentials Skills
YA	Young Adult
YALSA	Young Adult Library Services Assoc.(A division of ALA)

GRANT RELATED WEBSITES

1. Federal Agencies

Institute of Museum and Library Services
http://www.imls.gov/

Main Entrance to Federal Websites
http://www.firstgov.gov

Electronic Storefront for Federal Grants
http://www.grants.gov/

2. Missouri State Library

Missouri State Library – Library Development Division – Grants page
http://www.sos.mo.gov/library/development/grants.asp

3. OMB CIRCULARS

http://www.whitehouse.gov/omb/circulars_default/
The Office of Management and Budget (OMB), working cooperatively with federal agencies and non-federal parties, establishes government-wide grants management policies and guidelines through circulars and common rules. These policies are adopted by each grantmaking agency and inserted into their federal regulations. Relevant circulars include:

4. Federal Government Grant Sites

CFDA: CATALOG OF FEDERAL DOMESTIC ASSISTANCE
http://www.cfda.gov/
The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of federal programs, projects, services, and activities, which provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the federal government. Federal contracts, by PL-95-224, are Procurement, not Assistance; therefore, there are never any CFDA numbers issued for contracts. A grant from the United States Agency for International Development (AID) or other US State Department activities for foreign assistance will also not have CFDA numbers.

CFR: THE CODE OF FEDERAL REGULATIONS
http://www.access.gpo.gov/nara/cfr/cfr-table-search.html
The Code of Federal Regulations is a codification of the general and permanent rules published in the Federal Register by the Executive departments and agencies of the Federal Government. The CFR is available online and in a paper edition through the Government Publications Office (GPO) Superintendent of Documents Sales service.

The CFR is divided into 50 titles which represent broad areas subject to Federal regulation. Each title is divided into chapters which usually bear the name of the issuing agency. (See: Alphabetical List of Agencies Appearing in the CFR-- extracted from the January 1, 1998, revision of the CFR Index and Finding Aids -- pp. 1001-1009.) Each
chapter is further subdivided into parts covering specific regulatory areas. Large parts may be subdivided into subparts. All parts are organized in sections, and most citations to the CFR will be provided at the section level.

Funding Sources

Anheuser-Busch Foundation
The foundation supports "education, health care and human service, programs for minorities and youth, cultural enrichment, and environmental protection. Limited to organizations located in communities where the company and its subsidiaries operate major facilities, and where employees and families live and work."

Arch W. Shaw Foundation
Grants range from $1,000 to $50,000 and include support for general operating expenses, capital campaigns, building and renovation projects, equipment, etc.

Barbara Bush Foundation for Family Literacy
Up to $650,000 in grants will be administered each year with individual grantees receiving up to $65,000 each. This foundation funds family literacy initiatives and literacy programs that must include: Reading instruction for parents or primary care-givers; literacy or pre-literacy instruction for children; and Intergenerational activities where the parents/primary caregivers and children come together to learn and to read.

Build a Bear Workshop Grants
Direct support for children in literacy and education programs such as summer reading programs, early childhood education programs, and literacy programs for children with special needs. The Foundation strives to be geographically diverse in its giving within the United States and Canada. Priority is given to organizations located near Build-A-Bear Workshop stores. The application deadlines for 2009 are at the end February, May, August, and November.

Commerce Bancshares Foundation
Interests are in arts, civic improvement, education, and health and human services.

Community Development Block Grant
For community development and revitalization purposes, primarily benefiting people with low to moderate incomes. There is also a special focus on youth programs, including mentoring, tutoring, enrichment activities, employment services, and transitional support for youth aging out of foster care. Federal regulations specify that up to 15 percent of total block funds can be used to support public services. See Using CBDG to Support Community-Based Youth Programs by Roxana Torrico.

Cooper Clark Foundation
Provides grant funds to Baca County, Cheyenne County, Kiowa County, Kit Carson county, Lincoln County,and Multi-state awards. Grant types include Capital Improvement/Purchase, Equipment Purchase, Start-Up/Seed Money. (303)-624-7699 PO Box 2707 Liberal, KS 67905-2707

Dollar General Grant Programs
Offers a variety of grant opportunities including Adult Literacy, Back-to-School, Beyond Words, Family Literacy and Youth Literacy.

Dreyers' Foundation
The mission of the Dreyer's Foundation is to promote family, school and community environments that build skills and foster talents in young people. Funding requests are accepted throughout the year.

Elaine Feld Stern Charitable Trust
Support is for services addressing sexual assault, for children with visual impairments, stroke victims, a health center, and higher education. Contributions range from $1,000 to $15,000.

Ezra Jack Keats Mini-Grants
This foundation awards Ezra Jack Keats mini-grants of $350. These mini-grants are to be used for projects that instill a love of literature in children and that foster literacy and creativity. The foundation considers funding innovative workshops, lectures, and festivals, as well as activities aimed at parents of preschool children. **Deadline: September 15th, each year**

FINRA Investor Education Foundation
Through our General Grant Program, the FINRA Investor Education Foundation funds research and educational projects that support its mission of providing underserved Americans with the knowledge, skills and tools necessary for financial success throughout life.

The Foundation Center
The Foundation Center is looking for institutions such as libraries and community centers to be "free funding information centers" by housing their Cooperation Collections in libraries of all types that serve under-resourced and under-served populations. The Cooperative Collection is a core collection of Foundation Center publications, a variety of supplemental materials and services in areas useful to grant-seekers plus access to FC Search: The Foundation Database on CD-ROM. **Deadlines: April 1 or Oct. 1, each year.**

Francis Families Foundation
The Foundation focuses its funding in the areas of pulmonary research, lifelong learning with a particular emphasis on early childhood development, and arts and culture. Grants to educational organizations are limited to a sixty mile radius of Kansas City. Grants range from $250 to $409,000.

George K. Baum Foundation
Located in Kansas City, this foundation provides grants ranging from $50 to $200,000. Appears to prefer local organizations and institutions.

Helen S. Boylan Foundation
The foundation targets the Carthage and Kansas City metropolitan area. Interests include education, parks and libraries. Assists higher education, history and program for special needs children.

Improving Literacy through School Libraries
This program helps Local Education Agencies (LEAs) improve reading achievement by providing students with increased access to up-to-date school library materials; well-equipped, technologically advanced school library media centers; and professionally certified school library media specialists.

Jean, Jack and Mildred Lemons Charitable Trust
Focus is on the Joplin area. The Trust supports activities for "medical and educational purposes." Proposals are solicited in February.

Jenny Jones Community Grant Program
Jenny's Heroes provides grants of up to $25,000 each to fund projects that promise long-term community benefits. Through the fifty grant recipients so far, funds have been used to provide items and services such as library books, school computers, and coats for children in domestic violence shelters. The program's focus is primarily on smaller communities where fundraising can be difficult.

Kresge Foundation: Capital Challenge Grant Program
The mission of the Kresge Foundation is to strengthen nonprofit organizations throughout the United States that advance the well-being of humanity. The Foundation's six major areas of interest are health, environment, arts and culture, education, human services, and community development. Through the Capital Challenge Grant Program, the Foundation supports organizations' immediate capital needs, such as building construction or renovation, the purchase of real estate, and the purchase of major equipment. Grants are awarded on a challenge basis, usually one-third to one-fifth of the amount an organization has to raise to complete its campaign goal. Open to public and academic libraries and other institutions.

Laura Bush Foundation for America's Libraries
Grants from the Laura Bush Foundation are made to school libraries across the United States to purchase books.

The Lawrence Foundation
The Lawrence Foundation focuses support on the areas of education, the environment and health. The grant application provides the opportunity for you to introduce your organization, tell what problems you face, and how the Foundation can help. They use the Common Grant Application website to receive and manage their grant applications.

The La-Z-Boy Foundation
The Foundation supports academic and research libraries and organizations involved with arts and culture, health, and human services providing funds for general operating support and building or renovation projects. Gives primarily in areas of company operations which includes Neosho, Missouri.

Libri Foundation
The Libri Foundation donates new, quality, hardcover children's books to small, rural public libraries in the United States through its Books for Children program. A local match is required. Applications are accepted twice a year.

Lois Lenski Covey Foundation
The Lois Lenski Covey Foundation, Inc. awards grants to rural and urban, public and school libraries serving at-risk children. Grants range from $500 to $3,000. More details regarding the grant program can be found on the Grant Program Information web page.

Lowe's Charitable and Educational Foundation
The Lowe's Charitable and Educational Foundation is dedicated to improving the communities the company serves through support of public education, community improvement projects, and home safety initiatives. Support is provided to grassroots projects located in communities where Lowe's operates stores and distribution centers. Priority is given to projects that can utilize Lowe's volunteers. Grants generally range from $5,000 to $25,000. Requests may be submitted throughout the year. Visit the website listed above to take the eligibility test and submit an online application.

Margaret Alexander Edwards Trust Fund
The Margaret Alexander Edwards Trust provides small grants (under $5,000) for school and public libraries seeking to offer innovative programs that promote reading for pleasure for young adults. There is no specific deadline to apply. Applications will be received and reviewed on a rolling basis. Applications that feature new or creative programs will receive special consideration over those simply seeking funds for collection development or for a book discussion group.

Mattel Children's Foundation: Domestic Grantmaking Program
The Mattel Children's Foundation's mission is to better the lives of children in need. Grants are available to local organizations that use creative methods to address the needs of children from birth to 12 years of age. Funded programs must address one of the following issues: the health and well-being of children, with emphasis on promoting healthy, active lifestyles; increased access to education for underserved children, in particular, innovative strategies to promote literacy; and the self-esteem of girls up to age 12.

National Endowment for the Humanities (NEH)
Libraries can apply for grants to develop a new project that focuses on the humanities. Funds can be used for consultants' expertise in developing the project.

National Endowment for the Humanities (NEH)—NEH Challenge Grants
This grant is intended to help institutions and organizations make long-term improvements in and support for their humanities programs and resources. Eligible activities include establishing or enhancing endowments, one-time capital expenditures such as construction or renovation, and the purchase of equipment that will result in long-term benefit. Grant recipients must raise, from nonfederal donors, three times the amount of federal funds offered. Applications are welcome from colleges and universities, museums, public libraries, research institutions, historical societies and historic sites, scholarly associations, state humanities councils, and other nonprofit entities.

National Education Association (NEA) Foundation
Through the Books across America Library Books Award program, the NEA Foundation makes $1,000 awards to public schools serving economically disadvantaged students to purchase books for school libraries.

Office of Elementary and Secondary Education: Improving Literacy through School Libraries Competition
This program hopes to improve student reading skills and academic achievement by providing students with access to up-to-date school library materials, advanced school library media centers, and professionally certified school library media specialists.

ProLiteracy
The Charles Evans Book Fund is a special program of ProLiteracy's National Book Fund® which supplies local programs with adult literacy and basic education curricula and materials. The Fund is dedicated to improving the lives of people who are homeless. The grants, awarded in the form of vouchers for teaching materials and products from ProLiteracy's publishing division range, from $3,000 to $8,000.

[RGK Foundation Grant Program](#)
RGK Foundation awards grants in the broad areas of Education, Community, and Medicine/Health. The Foundation's primary interests within Education include formal K-12 education (particularly mathematics, science and reading), literacy, and higher education. Human service programs for potential funding include children and family services, early childhood development, and parenting education. Within Health/Medicine programs are to involve promoting the health and well-being of children and families. Youth development programs typically include after-school educational enrichment programs that supplement and enhance formal education systems to increase the chances for successful outcomes in school and life.

Stinson, Mag and Fizzell Foundation
Grants go to a law school, public higher education, recreation for boys, an art museum, and an association for persons with head injuries.

Sverdrup and Parcel Charitable Trust
Interests include public and private higher education in the St. Louis area. Send written proposal including description of the activity, purpose of request, current financial statement, and IRS exempt letter.

[Target Early Literacy Grant](#)
Reading is an essential element in a child's educational process. Reading grants are awarded to schools, libraries and nonprofit organizations, supporting programs such as weekend book clubs and after-school reading programs that foster a love of reading and encourage children, from birth through age 9, to read together with their families. Most grants average between $1,000 and $3,000. The application is available online.

[U.S. Cellular Connecting with Our Communities](#)
U.S. Cellular's corporate giving program accepts applications from nonprofit organizations in company communities. Programs are to serve economically disadvantaged youth, families and seniors – connecting people with opportunities for a better life. Eligible cities in Missouri include Columbia and St. Louis.

[Verizon Foundation](#)
The mission of the Verizon Foundation is to improve lives through literacy, knowledge, and a readiness for the 21st Century. The Foundation's funding priorities include: supporting literacy and K-12 education for children and adults, preventing domestic violence and helping victims gain independence, improving healthcare through technology, and educating parents and children about Internet safety. Grants generally range from $5,000 to $10,000. Online applications may be submitted from January 1 through November 1, annually. Visit the website listed above to learn more about the Foundation's grant guidelines and application process.

[W. K. Kellogg Foundation](#)
The Foundation offers grants to projects that address the following mission statement: "To ensure that all children get the development and education they need as a foundation for independence and success, we seek opportunities to invest in early child development (ages zero to eight), leading to reading proficiency by third grade, high school graduation, and pathways to meaningful employment." Strategies and programs include whole child development, family literacy and educational advocacy.

WHO Foundation

The WHO Foundation: Women Helping Others supports grassroots nonprofit organizations serving the overlooked needs of women and children in the United States and Puerto Rico. The Foundation's Education/Literacy Grant Program provides support for free after-school programs and other education or literacy programs for low-income children of all ages.

William T. Kemper Foundation

Preference is given to projects in the Midwest, with particular emphasis on Missouri. Support is primarily for arts, civic improvements, education, health care, and human services.

Wish You Well Foundation

Projects should support the Foundation's mission statement: "Supporting family literacy in the United States by fostering and promoting the development and expansion of new and existing literacy and educational programs" Awards generally range from $200-$10,000.

Websites That List Multiple Foundations

Grant Station
A membership service that provides access to funding sources for grantseekers based on their particular projects or programs and also mentors them through the grant seeking process. A quarterly membership is $189; an annual membership is $599.

National Library of Medicine Grant Resources
This resource contains links to both community grants and health science grants. It also includes links to web sites that provide grant writing tutorials and tips and grant notification services.

WebJunction
This web site developed by the Gates Foundation and other non-profit organizations includes a section on product donation programs offered by major computer vendors.

Library Grants
This is a blog authored by Stephanie Gerding and Pam MacKellar for librarians interested in a wide variety of grant opportunities.

Sources:
Many of the sites listed above are from the Colorado Department of Education Funding Sources page at http://www.cde.state.co.us/cdelib/technology/fund.htm.

See also:
The Directory of Missouri Foundations, edited by Anne E. Borman. St. Louis: Directory of Missouri Foundations, 2004.

The Directory of Missouri Grantmakers by the Foundation Center. New York: The Foundation Center, 2005.